Naval Education and Training Command

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Training Manual
(TRAMAN)

Management Fundamentals: A Guide for Senior and Master Chief Petty Officers

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Although the words "he," "him," and "his" are used sparingly in this manual to enhance communication, they are not intended to be gender driven nor to affront or discriminate against anyone reading this text.

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Naval Education And Training Program Management Support Activity

MANAGEMENT FUNDAMENTALS: A GUIDE FOR SENIOR AND MASTER CHIEF PETTY OFFICERS

NAVEDTRA 10049

Written by
ATCS Joel H. Garner
1st Edition
1990

PREFACE

Management Fundamentals: A Guide for Senior and Master Chief Petty Officers, NAVEDTRA 10049, and the nonresident training course (NRTC), NAVEDTRA 80049, form a self-study training package covering the basics of current management theory. Designed for individual study rather than formal classroom instruction, the training manual (TRAMAN) provides information on management history, theory, and practice.

An NRTC has been designed for use with this TRAMAN. This course consists of individual assignments. It must be ordered separately from the TRAMAN. Ordering information is available in the *List of Training Manuals and Nonresident Training Courses*, NAVEDTRA 12061. Each assignment is a series of questions based on the textbook. You should study the textbook pages given at the beginning of each assignment before trying to answer the questions in your NRTC.

This TRAMAN and its associated NRTC were prepared by the Naval Education and Training Program Management Support Activity, Pensacola, Florida, for the Chief of Naval Education and Training. Technical review was provided by the Office of the Chief of Naval Operations, Washington, D.C.

Your suggestions and comments concerning this TRAMAN and its NRTC are invited. Comment sheets have been included with both the TRAMAN and NRTC.

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UNITED STATES

THE UNITED STATES NAVY

GUARDIAN OF OUR COUNTRY

The United States Navy is responsible for maintaining control of the sea and is a ready force on watch at home and overseas, capable of strong action to preserve the peace or of instant offensive action to win in war.

It is upon the maintenance of this control that our country's glorious future depends; the United States Navy exists to make it so.

WE SERVE WITH HONOR

Tradition, valor, and victory are the Navy's heritage from the past. To these may be added dedication, discipline, and vigilance as the watchwords of the present and the future.

At home or on distant stations we serve with pride, confident in the respect of our country, our shipmates, and our families.

Our responsibilities sober us; our adversities strengthen us.

Service to God and Country is our special privilege. We serve with honor.

THE FUTURE OF THE NAVY

The Navy will always employ new weapons, new techniques, and greater power to protect and defend the United States on the sea, under the sea, and in the air.

Now and in the future, control of the sea gives the United States her greatest advantage for the maintenance of peace and for victory in war.

Mobility, surprise, dispersal, and offensive power are the keynotes of the new Navy. The roots of the Navy lie in a strong belief in the future, in continued dedication to our tasks, and in reflection on our heritage from the past.

Never have our opportunities and our responsibilities been greater.

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CREDITS

The articles and quotes listed below are included in this edition of *Management Fundamentals: A Guide for Senior and Master Chief Petty Officers* through the courtesy of the designated sources. Permission to use these articles and quotes is gratefully acknowledged. Permission to use these materials must be obtained frolm the source.

SOURCE	PAGES
U.S. Naval Institute	5-7 through 5-10
G.P. Putnam's Sons	3-9, 5-1, 5-6

CHAPTER 1

INTRODUCTION TO MANAGEMENT—PLANNING, ORGANIZING, AND DECISION MAKING

LEARNING OBJECTIVES

Learning objectives are stated at the beginning of each chapter. These learning objectives serve as a preview of the information you are expected to learn in the chapter. By successfully completing the nonresident training course (NRTC), you indicate that you have met the objectives and have learned the information. The learning objectives for chapter 1 are listed below.

Upon completion of this chapter, you should be able to do the following:

1. State the role of the senior chief.
2. State the role of the master chief.
3. Identify the definition of management.
4. List the functions of management.
5. State the basic tenet of the acceptance theory.
6. Identify the characteristics of bureaucracy.
7. Identify the principle characteristics of the behavioral theory.
8. State the importance of personal planning.
9. List the types of plans.
10. State the need for careful timing of plans.
11. List the criteria for evaluating plans.
12. State the need for goals and objectives.
13. Identify the definition of management by objectives (MBO).
14. List the steps to solving a problem.
15. List the primary phases of a conference.
16. Identify the characteristics of decision situations.
17. List the styles of decision making.

PLANNING AND ORGANIZING

The basic principles of management have steadily evolved into a profession indispensable to the function of modern organizations, whether commercial, nonprofit, or military. The Navy depends on its "middle managers" to fill the need for this profession. These managers must use sound management practices to accomplish the Navy's mission.

Management practice is a many-faceted discipline encompassing everything from assigning working parties to maintaining multimillion-dollar weapons systems. You as managers are responsible

to the chain of command, the defense department, and the taxpayer to avoid needless waste and inefficiency in the conduct of our mission.

You as senior and master chief petty officers are the backbone of Navy management. The Navy expects you to practice sound management of Navy personnel and material assets to accomplish our mission. You must wring every possible ounce of performance out of the budget dollar to survive and prosper in an increasingly budget-conscious world. As senior enlisted managers you are responsible for your organization's effective, efficient operation. Effectiveness gets things done correctly and in the proper order. Efficiency achieves objectives with the greatest possible output from minimum input. In other words, efficiency achieves maximum use of physical and human resources.

The roles and functions of the senior chief and master chief are deliberately stated by the Chief of Naval Operations in general terms. You are generic! Whether you are a division chief, division officer, or command master chief, your mastery of management skills will determine the success or failure of your mission.

The role of a senior chief petty officer is that of the senior technical supervisor with primary responsibilities for supervising and training enlisted personnel oriented to system and subsystem maintenance, repair, and operation. Based upon wide-ranging experience and specialized training, the SCPO provides the command with a higher level of technical and managerial expertise than is expected at the E-7 level.

As the senior enlisted petty officer in the United States Navy, the master chief petty officer is vested with special command trust and confidence extending to administration and managerial functions involving enlisted personnel. Based upon experience, proven performance, and technical knowledge necessary for advancement to the grade of MCPO, individuals of that rank within a command hold the senior enlisted positions and contribute to forming as well as implementing policy within their occupational field or across the full Navy rating spectrum.

INTRODUCTION TO MANAGEMENT

Management is defined as the art of integrating human, economic, and technical resources to attain a goal. No matter what you attempt to accomplish, a sound knowledge of management principles will certainly increase your chances of meeting your goals.

Management is exercised in many ways. A housekeeper who decides what must be done and plans the shopping and housework accordingly uses management skills. Organizing a working party or coordinating a major assault both require management expertise.

Sound professional management results in improved performance, more clearly defined goals, higher success rates, and reduced waste. It can make the difference between a successful deployment and disaster.

WHAT IS MANAGEMENT?

Management is the business of developing and coordinating resources, both material and human, and directing their use effectively and efficiently to achieve a goal, objective, or mission. Although management is often described as both an art and a science, the formal study of management as a science is relatively new. The science of management may be learned in a classroom, but the art of applying this science in dealing with human beings must be learned through observation and experience. Much of the theory of human behavior can be learned, but a practical base of personal experience is still a must. Science may succeed without art; but in the case of management, great results may only be achieved by skillfully blending the two.

Levels and Types of Management

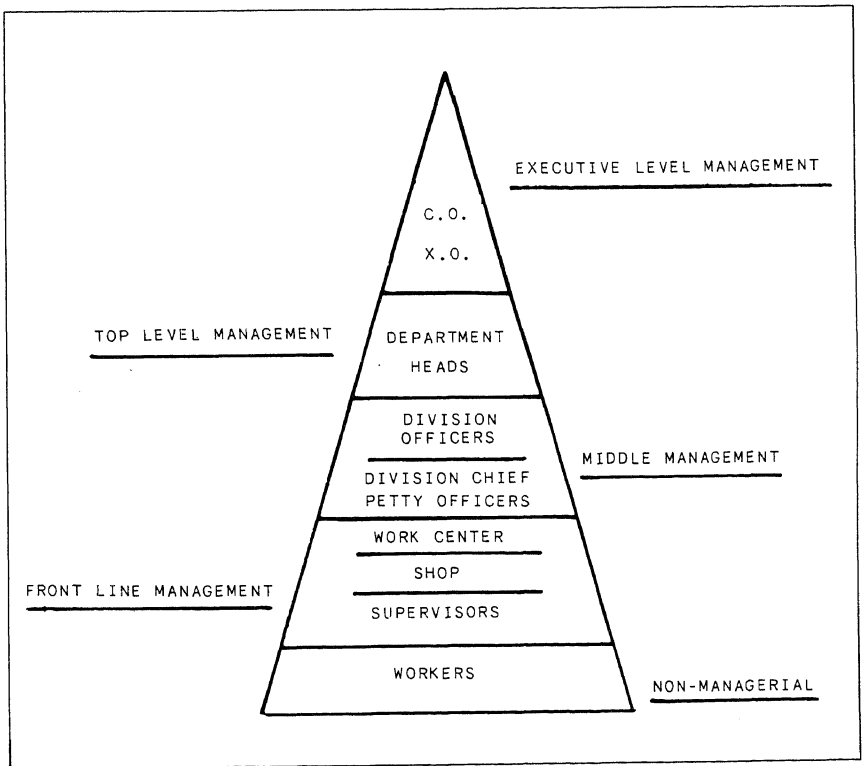
The typical organization functions at five general levels: executive management, top management, middle management, first-line management, and nonmanagerial. Consider the chain of command on board a naval station (fig. 1-1). The commanding officer and the executive officer are the executive level of management. Department heads are the top management level. Middle management is practiced at the division

level. Work center or shop supervisors are front-line or first-level managers. Workers make up the nonmanagerial level of the organization.

The types of management are generally grouped as either operational or administrative. At lower levels of management, you will be chiefly concerned with operational management. This involves motivating and directing front-line managers and workers to achieve operational goals. As you progress upward in the organization, your concerns will shift toward administrative management activities. Your goals and objectives will broaden in scope as your viewpoint of the organization's mission changes.

What Does a Manager Do?

With few exceptions management tasks and functions are generic. You as managers perform the same basic functions no matter what organization you belong to. What are these functions? They are planning, organizing, staffing, leading, and controlling. The basic functions of management are interrelated. Remove one of them and the whole process becomes ineffective.



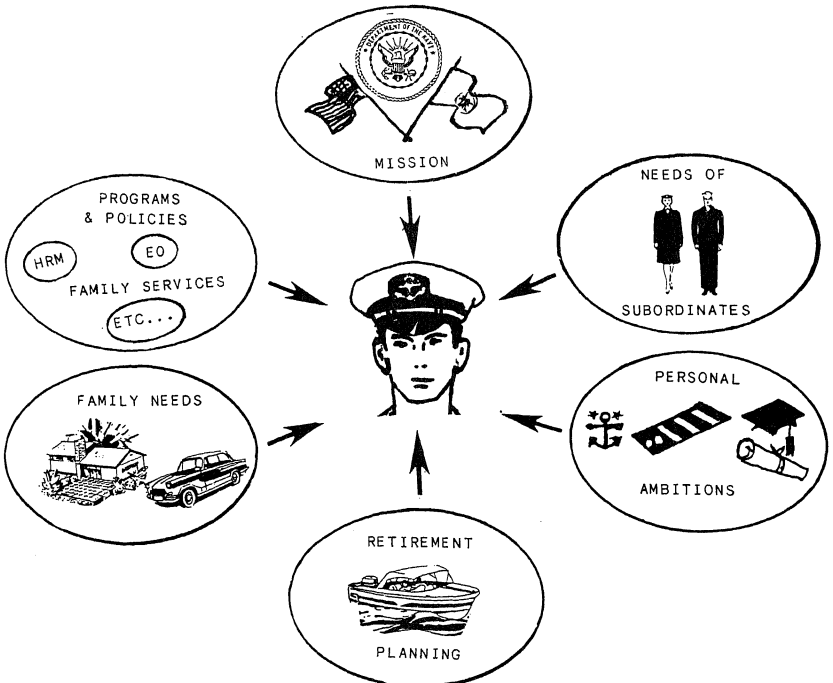
In addition, military managers must spend considerable time balancing the needs and requirements of many different groups (fig. 1-2). You are first of all responsible to your chain of command for attaining mission goals and objectives. You must also be aware of and concerned for the needs of your troops. Their health and welfare, advancement needs, career planning, and personal needs must be considered. Collateral duties, human relations programs, and equal opportunity requirements must be weighed. You also have your own needs to worry about. Personal career planning, retirement planning, and family needs must be coordinated with everything else.

Striking a balance between conflicting needs while keeping mission objectives on line can make you feel like the man sent to drain a swamp. It is hard to remember your original mission when you are up to your hips in alligators. Hopefully, this book will help you control the reptile population.

FUNCTIONS OF MANAGEMENT

The functions of management are all individually important. Keep in mind, however, that they are also interdependent; that is, they depend upon each other for success. This section briefly explains the functions of planning, organizing, staffing, leading, and controlling.

PLANNING.—Planning starts with setting a goal. Once this is done, the hard work starts. You must make decisions concerning the programs, tasks, procedures, strategies, and standards



budgetary and time constraints and consider available resources.

Planning is the cornerstone of management. All other functions hinge upon careful planning. Without it, you are wasting your time and your command's resources.

ORGANIZING.—Organizing is the business of arranging available resources into a coherent structure. This means getting the needed materials to achieve your goal, setting up committees or work groups, and assigning authority and responsibility for various tasks.

STAFFING.—Staffing describes the process of selecting, training, and placing your personnel where they will be most effective. Take care to consider the capabilities and temperament of your troops when carrying out this function.

LEADING.—Field Marshall Bernard Montgomery described leadership as "the capacity and will to rally men and women to a common purpose, and the character which will inspire confidence." Leadership involves motivating, disciplining, and directing your troops. Although your style as a leader may become less personal as you rise in an organization, your example will become more visible. Without strong, effective leadership the best of plans will stand little chance of success.

CONTROLLING.—Controlling is the function that ties all the others together. By controlling, you develop the methods needed to monitor and guide performance. Without control, production efforts tend to become disjointed and haphazard.

When controlling efforts go astray, develop a plan to get things back on track. Organize the means to carry out the plan. Assign responsibility for getting production back on track (staffing). Provide leadership to get things moving again. Use control methods to ensure that production runs smoothly. Through such actions, you constantly repeat and reenforce the cycle of management functions.

EVOLUTION OF MANAGEMENT THOUGHT

Management in some form has been in existence since man first congregated in family groups or tribes. Modern organizational behavior and political developments of the last 200 years. The principles of management we know today have evolved from "classical" theories, through behavioral theories, to the more recent development of contingency management theories.

Classical Theory

Classical theories date from the late 1800s to the 1930s. These theories were more concerned with efficient usage of physical resources and technology than human resources. The worker was seldom considered as more than a tool, while the manager was regarded less as a leader than as a ruler.

During this period major contributions were made to management knowledge in the fields of organizational theory, scientific management, and management functions. Such notables as Chester Barnard, Max Weber, Frederick Taylor, Frank and Lillian Gilbreth, Henry Gantt, and Henri Fayol contributed to this knowledge.

ORGANIZATIONAL THEORY.—Organizational theorists such as Chester Barnard and Max Weber studied the nature, structure, and purpose of formal organizations. Among other accomplishments, Mr. Barnard (who was president of New Jersey Bell Telephone Company) developed the acceptance theory of authority. Max Weber, an early sociologist, was one of the founders of the bureaucratic organizational theory.

Acceptance Theory.—Chester Barnard's acceptance theory of authority proposes that subordinates will completely accept orders only when they understand the orders and are willing and able to comply with them.

To what extent have you seen this proven? We expect obedience, but results are generally better when our workers know the what and why of a situation.

Bureaucracy.—Max Weber's research showed that a bureaucracy was the most efficient method of making the transition from small-scale business to management of large-scale organizations.

Did your blood pressure rise at the mention of BUREAUCRACY? Let's take a look at what this much-maligned word really means. Under a bureaucracy, organizational structure is defined by the following six traits:

1. Tasks are broken into highly specialized jobs.
2. A set of rules are rigidly followed to minimize uncertainty and increase the ability to predict job performance.
3. Authority-responsibility relationships are rigidly maintained.
4. Superior-subordinate relationships tend to be impersonal.
5. Promotion and hiring criteria are merit-based.
6. Lifetime employment is an accepted norm.

The bigger or older an organization becomes, the more bureaucratic it tends to become. Although many are critical of them, "bureaucratic structures" can be very effective in many situations. The armed forces are necessarily highly bureaucratic. Keep in mind however that rules can be too restrictive, and specialized jobs can become boring (leading to errors). Also remember that you can't always be impersonal, and truly superior workers can be difficult to recognize in a bureaucratic environment.

SCIENTIFIC MANAGEMENT.—Other classicists developed the art of managing production efficiency. Frederick Taylor, Frank and Lillian Gilbreth, and Henry Gantt, to name a few, made major contributions in this field.

Taylor.—Frederick Taylor's scientific approach evolved from experiments conducted in the management of his machine shop. He believed managers must undergo a "mental revolution." He also believed managers wishing to improve productivity should be prepared to share the increased gains with their workers by improving material conditions and making the work easier. To accomplish these goals, he proposed five steps:

1. Workers should be carefully selected and trained.
2. Preventive maintenance procedures should
5. Incentive pay should be introduced to increase motivation.

Gilbreth.—Frank Gilbreth did extensive work with time and motion studies. His goal was to find the single "best" way to perform a given job. His methods produced results that were unequalled at the time. His wife, Lillian Gilbreth, studied ways to improve the training, selection, and placement of personnel. In addition, in 1914 she published the first book on management psychology: *The Psychology of Management.*

You may be familiar with the book *Cheaper By the Dozen.* Written by two of the Gilbreths' twelve children, it deals humorously with the regimentation practiced in their home.

Gantt.—Henry Gantt refined methods of using graphics to plan, track, and improve performance. The Gantt Chart is used extensively in management planning.

Fayol.—Henri Fayol's research combined the efforts of several management theorists of his day. He classified the functions of management as planning, organizing, coordinating, commanding, and controlling. These functions have evolved to the present with only minor modifications. Today's manager must be proficient in planning, organizing, staffing, leading, and controlling.

Behavioral Theory

Although by the mid 1920s many businesses had adopted these management practices to good effect, critics maintained that the human element had been largely ignored. Hugo Munsterberg had advocated the study of human behavior as early as 1913. The combination of his studies, Max Weber's work-leadership theory, and the theory of bureaucracy led to further developments in the field of human relations. The study of human

FOLLETT.—Mary Parker Follett was a psychologist who conducted research in the area of management and labor relations. She wrote and lectured widely on the subjects of conflict resolution, coordination, and cooperation between workers and managers.

SHELDON.—Oliver Sheldon contributed to management theory on his advocating that industry has an obligation to benefit the community. He maintained that industry had a social obligation to the community and to its workers. His ideas were in the forefront of the human-relations movement that has continued to this day.

THE HAWTHORNE EFFECT.—No study of management would be complete without a discussion of the Hawthorne studies. Between 1924 and 1932, when the Great Depression intervened, Western Electric Company's Hawthorne plant was the site of a series of studies in human behavior. These experiments provided a great deal of information relating to motivation, organizational relations, and counselling.

One of the most interesting findings became known as the Hawthorne effect. This was the discovery that improved working conditions had less effect on productivity than improved morale. When workers felt their contributions were important and their efforts were appreciated, their production increased, even when working conditions were made worse.

In one phase of the experiment, a number of young women were divided into two groups. One acted as a test group and one as a control group. The working hours and working conditions of the test group were periodically altered while those of the control group remained the same. Such factors as lighting, lunch times, and breaks were altered or eliminated for weeks or months at a time. When working conditions were improved through increased lighting, productivity in the test group improved. This was expected; but to the researcher's surprise, productivity within the control group also improved. Lighting was then reduced for the test group, but production rates continued to improve! The control group's production continued to rise as well. Similar changes to breaks, working hours, and lunch periods evoked the same response. Over a period of 2 years, production in both groups soared steadily to new heights.

The workers in these groups were exhibiting normal human behavior. They had been singled out! They felt special. All of the young ladies had volunteered to participate in the experiment and had committed themselves to cooperating. Their morale improved and production rates followed. These results are underscored by the fact that at the beginning of the experiments, many laborers commonly referred to the Hawthorne plant as "the prison."

You have probably observed this phenomenon in military life as well. When the troops feel you are concerned for their welfare and will "go to bat for them," they will frequently produce results far beyond your expectations. We reap tremendous dividends from small amounts of time and attention when we recognize good performance or assist a sailor with a problem.

Contingency Approach

In the last 20 years, practicing managers and theorists have gradually synthesized a new management approach from the mechanistic and behavioral theories of previous decades. This method is referred to as the contingency approach.

The basic tenet of contingency management (not to be confused with crisis management) is that management techniques must be modified according to the current situation. This applies particularly to military management. During peacetime training missions we try to help our people understand the logic behind orders and procedures. During combat or emergencies, however, we expect immediate, unquestioning responses. We then become almost totally mechanistic in our management approach.

Contingency management also applies to your dealings with personnel. Some people can take a hint or even anticipate your requirements. Others respond only to blunt, straightforward direction. Most people fall somewhere between these two extremes. You will spend a large part of your time, effort, and skill directing and taking care of the needs of your personnel. The ability to choose the right approach at the right time can make your job considerably easier.

I have six honest serving men, they taught me all I knew. Their names are What, and When, and Where, and How, and Why, and Who.

—Rudyard Kipling

PLANNING

As Mr. Kipling pointed out when asked to explain his journalistic success, effective plans revolve around the answers to six basic questions:

1. What must be done?
2. When must it be done?
3. Where will it be done?
4. How will it be done?
5. Why must it be done?
6. Who will do it?

Until these questions are answered, you will be unable to choose an effective course of action.

PLANNING STEPS

In planning, you think ahead to select the best course of action to reach an objective. Your plan forms the basis for future management actions. Develop all the steps required to conduct a smooth operation, and watch it move toward the objective. Every plan, whether simple or complex, written or mental, contains certain essential elements: an objective, resources, procedures, and controls. Planning becomes easier if you follow a logical sequence in your thinking:

- Analyze the objective.
- Evaluate the situation.
- Consider all possible alternatives.
- Select the best course of action.
- Develop an alternate plan.
- Test plans for completeness.

Following this sequence won't always assure a good plan, but it will eliminate many problems and pitfalls you would normally encounter in planning.

Analyze the Objective

First, you must break the objective into components and establish relationships among them. You must answer the question: What specific operations must I achieve to accomplish the objective, and how are those operations it. In this way, you form specific tasks. By grouping these tasks, you determine the specific jobs to be assigned.

When eating an elephant, take one bite at a time.

—General C.W. Abrams

Evaluate the Situation

When you evaluate the situation, try to determine what you need to reach your goal. Use your knowledge and experience to examine available resources, policies, and procedures. Do you have enough manpower, supplies and equipment, space, and time to get the job done? How about your standard operating procedures (SOPs) and policies? You may need to coordinate with other managers and/or staff personnel to get what you need. If some are unable to help you, this will have an impact on your plans. To evaluate, in this case, means you must look at the situation carefully before you begin operations.

Consider All Possible Alternatives

Now that you know what has to be done and what is available to do it with, you are ready to consider how to do it. The objective, available resources, and situation all tend to limit your alternatives. One very effective technique for generating alternatives is "brainstorming." Gather a group of people (your workers, peers, and other concerned managers are excellent resources), explain the objective, what resources are available, and any existing limitations. Then ask for ideas. You must resist the temptation to arbitrarily prejudge or discard possible courses of action. Often a half-baked scheme will trigger a better idea from another source.

Selecting the Best Course of Action

After you have met with your people, choose the best course of action to carry out the mission. In making this decision, consider the methods and techniques required by each possible course. Determine which methods are most appropriate and which should be avoided. If you choose a widely different course of action from that

your action will meet all required deadlines. Also, be certain that your plan fits the assigned objective, is feasible under present circumstances, and will dovetail with the command mission and established policies. You may develop a beautiful plan; but if the manpower requirements for it are out of line with available resources, you will be fighting an uphill battle.

Once you have decided on a viable plan, you must design controls for the process. Good controls will allow you to keep in touch with the effectiveness and efficiency of your plan. They will let you identify and correct problems before they reach epic proportions. A good plan must be flexible enough to respond to required adjustments dictated by the control process.

The best laid schemes o' mice and men
Gang aft a-gley.

—Robert Burns

If it can possibly go wrong, it will!

—Murphy's Law

Always expect the worst, then anything less will be a pleasant surprise.

—Joel Garner

Develop an Alternate Plan

Once you have developed a gem of a plan, expect it to fail! An alternate plan can save the day if the worst should happen. If conditions should change or resources should suddenly become unavailable, your original plan could well become unworkable. So develop a full-blown alternate plan at the beginning; you may not have enough time later.

Test Both Plans for Completeness

After you have selected the best course of action and an alternate plan, check them both for completeness. Do they answer the six questions what, when, where, how, why, and who? Are they both adequate? Do they comply with current

PERSONAL PLANNING

While you are doing all this planning, don't overlook the most important plan of all: Planning your time!

Planning your time effectively can benefit your efforts as much as having an assistant. Your job is to manage. The things you must do to manage your unit may seem endless. You must schedule work, develop plans, supervise training programs, attend endless meetings, improve the programs under your control, and continually supervise. To accomplish this with any degree of effectiveness, you should know what you are going to do from day to day. This means planning your work.

Experience has shown that the manager's efforts fall into four basic work areas: regular, routine, special, and creative.

1. Regular work is your primary responsibility. This includes planning, controlling, organizing, coordinating, directing, training, and supervising.

2. Routine work includes tasks such as answering the telephone, preparing routine reports, keeping production records, logging work orders, and keeping muster records. You should spend very little time performing these duties. Assign these tasks to subordinates (we will discuss delegation later).

3. Special work includes service on committees, staff studies, investigations, special reports, and collateral duties. Planning for these duties can be difficult, since they don't always occur at regular intervals; but you must allot time for them.

4. Creative work is what you accomplish in improving working conditions, developing better procedures, and improving techniques. This is one of your basic (and most rewarding) responsibilities. If you don't find the time for it, then your planning leaves something to be desired.

No hard and fast rule exists as to how much time you should devote to each of the work areas. A general guideline would probably be regular work, 65 percent; routine work, 15 percent; special work, 10 percent; and creative work, 10 percent. The actual breakdown will depend on you and your work situation.

Planning never really ends. You must adjust

Planning and plans are typed or classified by their characteristics and purpose. The following is the general criteria for classifying plans:

- Functional area—The general field to which the plan applies, such as personnel, administration, operations, and safety
- Time factor—Long, medium, or short-range
- Characteristics—Cost, detail, and complexity
- Level affected—Force, command, department, division, or shop
- Action required—Most often performed actions, such as research and development, staffing, and mission operations

These criteria are used to classify plans into three general groups. These are strategic, standing, and one-time or single-use plans.

Strategic Plans

Strategic plans are concerned with overall mission. They define unit objectives and goals. Strategic plans give you "The Big Picture."

These plans are designed to provide long-range guidance. They provide a base line for other plans. Once mission and objectives have been defined, strategies can be developed to meet them. Strategic planning must remain flexible enough to accommodate shifts in policy or action by our own government and other nations. They must include alternate or contingency plans in anticipation of foreseeable changes.

Standing Plans

Standing plans consist of policies, procedures, and regulations. They exist to provide guidance to you in the absence of higher authority. They enable you to make rational, informed, consistent decisions and plans without constantly consulting higher levels of command. Standing plans exist until they are cancelled or modified by higher authority.

POLICIES.—Policies are an expression of top management's attitudes toward specific actions Examples of policy are equal opportunity programs, promotion policies, fraternization, single parenting, and zero tolerance.

PROCEDURES.—Procedures establish the sequence and accuracy required for you to accomplish specific actions. You, as managers, establish procedures to accomplish many routine jobs such as check-in/out, maintenance actions, preventive maintenance, inspections, and pre-deployment preparations.

WARNING

When a procedure has become obsolete or requires modification, change or cancel it! Considerable time and effort is wasted every day through compliance with outdated procedures.

"But Chief, we've ALWAYS done it this way." Grrrrr.

When procedures cross departmental lines, you must ensure they are coordinated with the other departments to avoid confusion and ruffled feathers. Well thought-out procedures, however, will make your life easier. They put routine matters on automatic pilot and allow you to concentrate on managing the exception rather than the rule. Good procedures will do the following:

- Free manager's time from routine matters
- Ease coordination
- Save man-hours
- Increase efficiency and effectiveness
- Increase your control
- Simplify delegation of authority
- Clarify responsibility

REGULATIONS.—Regulations are often used to effect policies and plans. They provide specific direction concerning required or

prohibited actions in given circumstances. Regulations frequently carry a penalty for noncompliance. You are already familiar with many regulations:

- Hair length and style restrictions
- Hearing protection requirements
- Smoking restrictions
- Safety requirements
- Uniform requirements

Single-Use Plans

Single-use plans are essentially one-time use plans having a specific goal or objective. They may run for a few days or last several years. Projects, programs, and budgets are commonly thought of as single-use plans.

PROGRAMS.—Programs set objectives and specify the main steps or actions you must take to obtain them. A comprehensive program will provide information concerning the following:

- Step-by-step goals
- Policies
- Rules
- Required physical and human resources
- Strategies

PROJECTS.—An effective way for you to deal with program management is to break the program goals into manageable projects. A project should have a clearly defined goal with a definite beginning and end. This approach to major or complex objectives will give you greater flexibility in scheduling, planning, and delegation. It allows you, the manager, to concentrate on managing the various aspects of the program while dividing the detail work among your subordinates. A side benefit of this technique is increased involvement and program support from

BUDGETS.—A budget is simply a financia forecast. It lays out expected monetary needs fo a specific plan or operation. A budget must se realistic financial goals to be of any use as control device for project or program manage ment. You will find budgetary planning one o the most critical planning challenges you will fac as a manager. A carefully thought-out budget however, will provide a measure of efficiency an effectiveness as an operation progresses. It wil also give you a considerable degree of control ove the progress of your project.

THE TIME ELEMENT IN PLANNING

Comprehensive planning can be time-consum ing. As a result, you will frequently need to g ahead with the several planning steps withou having all the facts. Flexibility is the key t planning under these circumstances. You mus allow for changes as new information or alterna tives are presented. Give due consideration to th range or life span of a plan as well. Plans com in three basic sizes with respect to range:

1. Long-range plans
2. Intermediate-range plans
3. Short-range plans

Long-Range Plans

Long-range plans run for 2 or more years an sometimes as much as 30 years. Five-year plan for new construction, manpower, and weapon procurement typically fall into this category Long-range plans reflect the big picture and ar generally reserved for top-level managers. Thes are the plans people are least likely to understan completely. Long-range plans are also calle strategic plans.

In over 25 years service, I've never seen the Real Navy or The Big Picture.

—Anonymous MCPO

Intermediate-Range Plans

examples of intermediate-range plans. Intermediate-range planning is normally associated with staff, department, and sometimes division managers.

Short-Range Plans

Short-range plans are formed at all levels of management. They are, however, normally associated with managers at the division, branch, and shop levels. Implementation of new policies, work assignments, and training syllabi are typical short-range plans. These cover a time span from 1 day to 1 year.

TIME SPAN AND PLANNING

The time you spend on planning will depend largely upon your position in the management hierarchy (chain of command). Upper-level managers routinely spend over 25 percent of their time planning, while lower-level managers normally invest 10 to 15 percent of their time.

All managers plan. The character, range, and time invested in a plan depend on the nature and complexity of the plan. They also depend on your level of responsibility and authority with regard to that particular plan.

EVALUATING PLANS

The criteria most commonly used to evaluate your plans are based on your consideration of the following elements:

- Flexibility
- Simplicity
- Accuracy
- Comprehensive viewpoint
- Cost-effectiveness
- Assignment of accountability and responsibility

Flexibility

The longer the span of time involved in your plan, the more important flexibility becomes. Your design must be flexible enough to accommodate smooth transition into alternate plans should the need arise. And arise it will—the more rigid your plan, the more likely will be the need to change it. This idea is a corollary to the jelly-side-down principle.

> The odds of a falling piece of jelly bread landing jelly side down improve in direct relation to the cost of the carpet.
>
> —Murphy's Law

Simplicity

Needlessly complicated plans are an administrative burden to you and the people who must live with them. Some plans must be complicated, but you must make every effort to avoid unnecessary steps. This is the same logic that dictates breaking large programs and plans down into more manageable projects. You can help by designing a compartmented plan that will lend itself to the project concept. Such forethought makes monitoring and controlling much easier and will save your time and the Navy's money.

Accuracy

Does your plan conform to your goal? Are your facts accurate or colored by personal opinion and desires? You must maintain objectivity in the planning process. You must avoid needless ruffles and flourishes that do not point toward your goal. Tinsel is pretty but expensive.

Comprehensive Viewpoint

Have you gone through all of the planning steps? Does your plan cover all vital actions without going into minute, restrictive detail? You must leave room for subordinates to maneuver. Is your plan consistent with command procedures and goals? Your plan should make coordination with other elements of the command easy.

Cost-Effectiveness

Cost-effectiveness applies to more than just dollars. If your plan will provide enough return to justify the time, energy, and personal involvement you (and others) will invest, use it; otherwise, cancel it. One of the hardest things for a manager to do is scrap a lovely, simple plan. If you must cancel a plan, do it yourself; this is easier than having it scrapped by someone else.

Have you provided realistic guidelines, timetables, and performance measures? Does your plan clearly delineate areas of responsibility? These facets of good planning can save a tremendous amount of time and confusion. You can make everyone's life easier by spelling out who must do what by when.

ORGANIZING

Organizing is analyzing the mission, determining the jobs, setting up the structure, and assigning personnel. Since planning and organizing overlap, saying precisely when planning stops and organizing starts is nearly impossible.

The basic procedure of organizing consists of considering mission and resources, putting them in order, and carrying out plans. Factors considered include functions, operations, tasks, material, manpower, money, space, and time. You have four major tasks: set up a structure, determine procedures, establish requirements, and allocate resources.

Organizing is based on mission objectives. Different missions require different types of organization. The mission, however, does not tell you what specific functions, operations, and tasks will be required. It is simply a short statement of the end results expected. It must be reduced to three areas:

1. Functions—General types of work which must be performed to accomplish the mission
2. Operations—Specific jobs which must be done to perform a function
3. Tasks—Individual jobs required to complete an operation

The important thing for you to remember is to break the mission down into the functions, operations, and tasks needed to accomplish it. Then group them by similarities of required skills and equipment. The project concept discussed under planning now comes into play. Once you have grouped the various elements of the mission, you must develop an organizational structure based on that grouping. This structure will provide the channel through which orders will travel, and it will determine the assignment of responsibility and authority. The typical organizational chart is a graphic representation of a unit's structure. It shows the lines of authority and responsibility,

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If you don't know where you are going, then any road will get you there.

—Lewis Carrol

GOALS AND OBJECTIVES

Objectives provide both direction and destination to our efforts. Without them, you are like SN Skylark who reported to personnel and told the duty yeoman that he had lost his orders. When the personnelman offered to contact his next command, Skylark replied, "That's the real problem; without my orders, I don't know which ship I am going to."

Some sailors take a shotgun approach to studying for advancement. They take correspondence courses that interest them without reference to their advancement bibliography. Without organizing their study efforts, they greatly reduce their chances of passing a rating. Many managers make the same mistake; they make decisions without first identifying the goals or objectives and planning the best route for attaining them.

What Is an Objective?

For our purposes, goals and objectives are essentially the same. An objective is the desired end result of your efforts. It should be consistent with your unit mission. Objectives can be stated in broad terms (overall objectives) or be precise (specific objectives). You reach overall objectives through setting and attaining subobjectives, specific strategies, policies, programs, and so forth.

To determine objectives, you first must define your unit's overall mission. Your unit's intended function or purpose is its mission. Without a clear picture of your mission and objectives, you will be like SN Skylark—knowing you need to go SOMEWHERE, but not knowing where.

Areas that need objectives include, but are not limited to, work performance, worker attitudes, retention, productivity, material, and finances. Appendix I provides an excellent example of a mission organizational plan and objectives.

Management by Objectives (MBO)

Management by objectives (MBO) is a joint effort in goal setting by managers and their subordinates. One of the major benefits of this process is the resulting dedication to goal attainment by your subordinates. People with a personal commitment to a goal will naturally work harder than those who have their goals set for them.

Did you volunteer for this job?
Yeah. At least that's what the Chief told me.

—Conversation overheard between two Airmen during a base beautification project

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The MBO process consists of six major parts:

1. Discuss your job responsibilities and priorities.
2. Reach a mutual understanding of your subordinates' responsibilities and job priorities.
3. Jointly set specific performance objectives and standards for your subordinates.
4. Establish periodic meetings to evaluate progress.
5. Set annual or semiannual meetings to review your subordinates' overall performance.
6. Start the cycle over at step 1, adjusting or modifying goals as necessary.

MBO programs are not applicable to all situations. Additionally, MBO can cause increased paperwork and be time-consuming. The benefits of a well-run MBO program can, however, be considerable. MBO ensures that subordinates understand what is expected of them and where your priorities lie. This eliminates much potential confusion, frustration, and wasted motion. The MBO process forces you and your subordinates to plan more thoroughly and focuses your energies on specific goals. It increases communication between you and your subordinates about progress and problems and increases your subordinates' commitment to attain those goals. MBO also sets up definite, measurable standards for performance evaluation.

DECISION MAKING AND PROBLEM SOLVING

A major component of planning and organizing in any organization is the ability of its managers (that's you) to make decisions. Decision making is the deliberate choice of a specific course of action to achieve a particular result. The quality of your decisions will directly affect the efficiency and effectiveness (remember those two words?) of your department, division, or work center. It also will determine your creditability with your subordinates and seniors. All managers are decision makers!

CLASSIFYING DECISIONS

Decisions may be classified as *programmed* or *unprogrammed*. Programmed decisions are repetitive in nature and are normally covered by routine procedures or instructions. When to schedule training, which check-in procedures to use, and when to perform preventive maintenance are examples of programmed decisions. These decisions are considered routine and require little, if any, conscious thought. The unprogrammed decisions are the ones that cause ulcers and premature hair loss. Unprogrammed decisions are made infrequently and generally involve variables that require a considered response each time the problem arises. Who to send TAD, which assignment to ask for, and how to schedule Christmas leave are examples of unprogrammed decisions.

PROBLEM SOLVING

How many times during the past months have you found obstacles standing between you and some goal you wanted to reach? Most supervisors could quote a fairly large figure if they could make an accurate tally of the number of problems they have faced. Whenever difficulties block your path to some goal, you have a problem.

Since you do not lead a charmed existence, you are confronted by problems everyday. As a mature person, you probably accept the inevitability of problems, facing them realistically and seeking workable solutions. But unless you have studied the nature of problems and ways to tackle them, you may still be resorting to trial-and-error methods. This often results in your overlooking the best solutions.

Problems can be solved to the advantage of all concerned. The art of problem solving may

seem extremely tedious and demanding at first. However, once you master it you will enjoy the benefits of finding the best solution for the problem at hand.

Your duties are demanding. Demands create problems that you must solve, sometimes by yourself but more often with others who are equally concerned. What better reason could you have to master problem solving? You should remember two principles about problem solving:

1. Any system is better than no system at all.
2. The ultimate goal of any system is the ability to withhold judgment until all aspects of the problem have been logically considered.

Individual Problem Solving

The system we describe here is a way you can remove obstacles and reach the goal in problem solving. Since the method is closely related to the process of scientific investigation, it is often referred to as the *scientific method of problem solving*. The method is not foolproof, but it will help you withhold judgment until you have considered all possible facets of the problem and all possible solutions. This is a value of any problem-solving system. It enables you to consider possible solutions without prejudice or bias. Any systematic approach to problem solving will help you to withhold judgment and remain open-minded.

The six phases of problem solving (or decision making) follow a logical sequence (fig. 1-3). In actual practice, you will probably need to adjust this sequence to fit the moment. Developments in one phase may cause you to readjust or reconsider factors in a previous step. The following are the six steps to problem solving:

1. Recognize the problem.
2. Gather the data.
3. List all possible solutions.
4. Test possible solutions.
5. Select best possible solution.
6. Implement and follow-up.

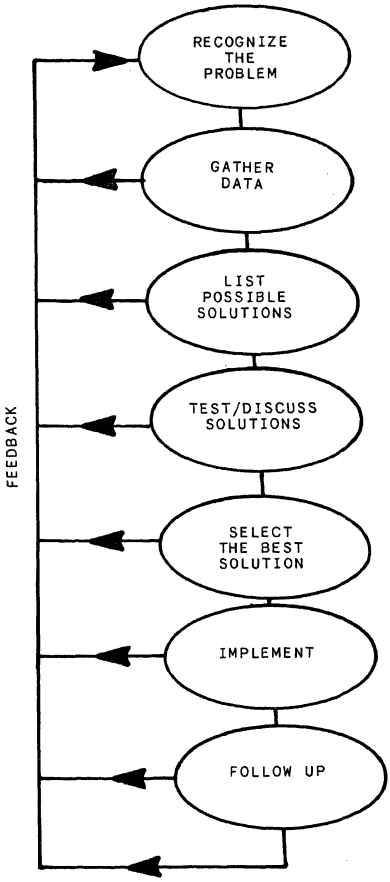

Figure 1-3.—Decision making.

RECOGNIZE THE PROBLEM.—Can you take a trip without first deciding what method of transportation to use or without knowing where you want to go? Obviously, you must recognize your need to get from one place to another. Secondly, you must know your goals or the place you intend to visit. You must consider the obstacles such as cost, time, available transportation, and routes to take. The above factors contribute to recognizing your problem through analysis of the elements.

GATHER THE DATA.—You now have a goal and you have identified the things that stand between you and success. Next, you must get all the information you need to solve the problem.

You need to know about road conditions as well as bus, train, and airline schedules and fares. Divide this information into categories:

Facts—These are known truths. For example, you can call the highway patrol for road conditions, you can consult schedules for trip times, and a map will provide distance information.

Assumptions—Some data must be assumed, such as the accuracy of information concerning fares and possible routes.

Criteria—A criterion is a standard of judging. This is most important in data gathering. It is a rule by which you measure such things as facts, principles, opinions, and assumptions. In problem solving, you should always have some criteria to consider. For example, you might consider criteria such as the following: departure must be between 0800 and 1000, arrival must be before 1700, luggage must include two suitcases and a trunk, and travel money is limited to $75. The criteria will help you decide which method of travel to use. The bus may be too slow. The train may leave too early. Airfare may exceed available funds. Whatever criteria you set up will help you decide between alternatives.

LIST ALL POSSIBLE SOLUTIONS.—Where do you find possible solutions? You may get ideas almost immediately. The longer you study, consider, and think about solutions, the more alternatives you will have. Solving the first two steps to problem solving should generate some viable alternatives along the way.

TEST POSSIBLE SOLUTIONS.—In every instance, you should consider each possible solution against the established criteria. Evaluate your solution by asking yourself the following questions:

Is the solution suitable? Will this solution produce the desired results? Will it do the job?

Is the solution feasible? Do the means for completing the job by this method exist? Can the job be accomplished this way?

Is the solution acceptable? Is the solution going to be cost-effective? Will it fit command directives? Even if the solution is cheaper, will

SELECT THE BEST POTENTIAL SOLUTION.—At this point, you can decide on the best solution by eliminating those which do not meet your criteria. For example, in planning your trip, you may eliminate rail, bus, and air travel because they do not fit your criteria. You may decide that driving your car is the best solution to the problem.

Of course most problems are not this simple. You will frequently find two or more alternatives that meet all your criteria. You must then decide which will be the best. This may well be the hardest part of decision making, because it causes you to fall into a mission-oriented frame of reference. Which alternative is best for the overall mission? Which will best dovetail with other on-going projects? Which pays the most dividends in the long run?

IMPLEMENT AND FOLLOW UP.—Put the solution into effect. No problem is solved until action is taken. After all that work making a decision, don't let your work be wasted. Follow up. Get feedback on the progress of your solution. You may need to review and revise your solution as it progresses. Also, failure to follow up shows a lack of interest. Your subordinates may wonder why they should be interested in the plan.

Group Problem Solving

Complex situations require today's manager to make the best possible use of every worker's talents. To do this, you must have a means of getting your people to take an active part in solving unit problems or deciding unit policy. The conference method is valuable for this purpose primarily because it brings about a pooling of knowledge, information, experience, and judgment.

A problem solved by the conference method must be one that requires collective thought and action to solve—because of its nature, importance, or complexity. Not every problem warrants the time-consuming method of calling and conducting a conference. The people brought together should have a common interest in the problem. They should be qualified to discuss and pass judgment on the problem. The problem should be one to which the group can be expected to find a practical and acceptable solution.

Other important values grow out of using the conference method. Workers who have had an opportunity to offer their ideas and to take part

to accept the decision reached. Also, other serious problem areas may be uncovered during the conference.

You need several elements to use the conference method. You must have an exchange of ideas. For profitable discussion, you must select people who are qualified to discuss the issue and to act upon it. You must control the discussion; therefore, you must have planned it in advance. Most important of all, the conference must have an objective. Add up these elements and you have a workable definition of the conference method. It is a planned-for meeting of selected people where an active, controlled exchange of ideas takes place for the purpose of solving a problem.

PLANNING THE CONFERENCE.—A conference can be productive, or it can quickly deteriorate into an exercise in fertilizer spreading. This will produce a maximum of useless talk and a minimum of worthwhile results. The usefulness of the conference rests on the quality of preparation. Therefore, arrange for a suitable conference room and set an acceptable time for the meeting. Provide tables, chairs, lighting, chalkboard, maps, charts, and other necessary aids. Inform the conferees of the time and place as far in advance as possible. Also provide them with a tentative statement of the problem, available pertinent data, apparent criteria for solutions, and an agenda for the discussion at the same time. This allows them to be fully prepared for the discussion.

CONDUCTING THE CONFERENCE.—The orderly conduct of a conference fits into three organizational divisions: introduction, body, and conclusion.

As with the introduction to a speech, getting a conference started on the right foot is crucial to all that follows. Unless the participants are well known to each other, ensure the chairman and each member of the conference has a name card.

Provide guidelines for the conference: (1) stress the need for active participation; (2) encourage freedom of expression; (3) request that contributions be brief and to the point; (4) rule that only one person may speak at a time; (5) invite differences of opinion, but rule out personal abuse; and (6) assure that anything said will be regarded as confidential.

Having laid the ground rules, introduce the problem, motivate the group to solve it, and lead the group to a final agreement. Then set up criteria for the group to test possible solutions. Submit a proposed agenda, but allow the group to discuss it and offer modifications. The group's primary objectives are to agree on (1) the exact nature of the problem, (2) the criteria for testing solutions, and (3) what the agenda should be.

Ensure that points are discussed in the agreed upon order. Cover all phases of the problem and call upon every member to contribute to the discussion. Bring differences of opinion into the open and discuss them freely. After the problem has been thoroughly explored, solicit possible solutions. List the main points, facts, and assumptions agreed upon and the possible solutions.

Use questioning and summarizing to clarify the issues. The *question* is an invaluable tool. Questions can open, advance, expand, or close a discussion. They can provoke thought and get people to join the discussion. Success depends upon asking the right question at the right time. Questions may be classified as *overhead*, *direct*, *reverse*, *relay*, *lead-off*, or *follow-up*, depending on their purpose:

- An overhead question is one you throw out to the entire group. The first question will probably be of this type. When asking an overhead question, give each person a chance to express an opinion or present information. The overhead question may be used to close the discussion of a topic: "Does anyone have anything to add before we move on to the next point?"

- A direct question is one you address to individuals. You will find such questions very helpful in drawing people into the discussion. Be sure to ask a question the person can answer. Use direct questions to jolt the inattentive, get the talker to summarize, or get special information from someone. You also may use them to draw someone back into the discussion by asking how his or her comments relate to the topic. You may ask the direct question first, or you may name the person you wish to target before asking the question. The first method keeps the entire group on its toes, and the second solicits individual thought and reply.

- A reverse question is one you revert to the asker. A relay question is one you pass to

someone else. You may wish to use a reverse question if a conferee asks questions you feel you should not answer. Throwing questions back to the group promotes open discussion and keeps you in the background.

- A lead-off question is one you use to start a discussion of a new topic. A lead-off question should generate group thinking on the topic. Before the conference begins, prepare a lead-off question for each separate item.

- A follow-up question is one you use to keep a discussion going. This type of question serves to govern conference progress. You must carefully design follow-up questions. Some planning of follow-up questions helps, but the discussion itself will determine the specific questions.

Use the following guidelines when asking questions:

1. Word all questions clearly so that they may be easily and quickly understood. They should be neither too hard nor too easy to answer. If a question is too hard, you will receive little or no response; if it is so simple that it requires no thought, it has no value.
2. Since the primary objectives are to encourage thinking and promote discussion, avoid questions that may be answered *yes* or *no*.
3. Generally, questions should be designed to draw out the knowledge and experience of the group. They should be worded so that people feel free to express their personal views on the subject. Avoid any wording that insults or antagonizes. Do not let anyone flounder indefinitely; remember not to use questioning as an end in itself, but to use it only as a tool.

Successfully handling a discussion of any length requires *frequent summarizing*. Summarizing helps you to keep the discussion focused on the subject, give the group a clear picture of the discussion, and avoid needless repetition. It also helps you to reveal areas of agreement and disagreement. A summary—to define exactly where you are and what you have decided before going ahead—is a must following the discussion of each point. This is the time to iron out differences of opinion uncovered during the discussion if possible. Particularly controversial questions may call for one or more summaries within the discussion of a point.

As a conference leader you must know how to handle discussion problems. Many trying and delicate situations can, and will, arise; and circumstances will vary widely from conference to conference. Be aware of possible problems, be prepared for some common situations, and be familiar with possible ways of handling them. The following suggestions for dealing with disruptive characteristics may prove helpful:

- *Verbose people* who take 5 or 10 minutes to make a small point must learn to be more concise. Ask them to write a brief summary on the chalkboard. You will find this is a severe but effective method to curb misuse of time.

- *Reticent*, or *silent, persons* are likely to be new to the group or unsure of themselves. If they fail to join the talk after becoming familiar with the group, bring them into the discussion with direct questions you are sure they can answer.

- *Skeptical people* are a disturbing influence—in most instances because they make us think—who keep us from becoming receptive to illogical proposals. If skepticism prevents the acceptance of *any* proposal, however, remind the skeptic that *some* solution *must* be found.

- The *dogmatic characters* will argue a single idea illogically until they arrive at the point of no return. To concede in any way would be an admission of stupidity or ignorance. To get these people back into the group, point out differences in definitions or evidence that both they and the rest of the group have used. By doing this, you divorce them from ownership of the proposal.

- Finally, the *radical thinkers*, or "odd balls," may become a disturbing influence. The greatest mistake you can make in dealing with these people is to ridicule them into silence. Genius first unfolded may appear revolutionary and bizarre. Only by listening to and understanding revolutionary ideas can we honestly judge them.

its wordy, domineering, or belligerent members in line. Since this action carries the weight of group feeling, it is generally more acceptable than if you alone take action.

CLOSING THE CONFERENCE.—The conclusion of your conference can be compared in purpose and importance to the conclusion of a speech. It must tie the entire project together. Since all topics have been fully discussed, restate all the possible solutions. After considering each solution, select the best one. The solution decided upon must be likely to succeed in solving the problem. You will, of course, have differences of opinion to iron out in coming to a decision acceptable to the group. The final solution may be a compromise or a combination of several possible solutions. Make a closing summary, phrasing the agreed-upon solution in a short, clear statement. When no solution is reached or when discussion is to be continued at a later time, briefly summarize what has been covered. At the end of your summary, explain any further action to be taken. Group members must not leave the meeting wondering what, if anything, has been accomplished.

DECISION RULES

1. Set priorities for decisions. Is this a real problem that requires a decision, or is it a minor matter that can be resolved at a lower level?

2. Don't reinvent the wheel. Does a policy or procedure already exist to take care of the situation? Wasting time making decisions that have already been made is pointless.

3. Gather other opinions. Do you need more information? Check with supervisors, friends, or experts to get a good perspective on the problem when necessary.

4. Avoid stress checks. Anticipate problems as much as possible. This helps avoid crisis situations. If you must make a pressured decision, take a few minutes out and mentally review the decision-making steps covered earlier. You waste time and effort trying to plan for every possibility. Stick to the situations most likely to occur.
6. Don't panic when you make a mistake. No one is right every time. Mistakes are a fact of life. Make the best possible decision while recognizing that many situations cannot be divided into black and white. When you make a mistake, admit your error, learn from it, and get on with your business.
7. Make the decision. Don't waffle over a decision. Changing your mind back and forth only creates confusion and loss of confidence among your subordinates.
8. Put it to work. Having made your decision, implement it. Put your heart into making your decision work. Limp-wristed implementation may doom your efforts to failure. If you do your best and still fail, refer to rule 6.

Group Decision Making

In many instances, you will be able to make decisions based on your experience and knowledge. At times, however, you will need input from others. You may gather input informally or in a more structured setting.

The need for group involvement may arise at any point in the decision process. Opinions are sharply divided concerning the effectiveness of groups, such as committees, in decision making. Some managers feel that group decision are more effective because of the broader span of knowledge and experience represented. The opponents of group decision making argue that decisions are weakened through attempts to please too many different people. For better or worse, you will undoubtedly be involved in group decisions at many points in your career. The following list of do's and don'ts will help you get the most out of the experience:

- Treat all members of the group fairly.

- Don't feel that each member must get exactly what he or she wants. Make this clear from the start.

- Remember that you are here to gather different perspectives on the problem.

- Encourage each person to present his or her perception of the problem and its solution.
- Don't try to sell the senior members' ideas.
- Maintain a disciplined meeting.
- Try to solve problems cooperatively.
- Don't solicit advice with no intention of paying attention to it.

WHEN TO MAKE A GROUP DECISION.—How involved should your subordinates be in the decision process? Will an independent decision on your part directly or indirectly affect the morale or job performance of your worker? You should consider serveral factors in determining whether to share a decision with your subordinates or make it independently. The following are some of the questions you should ask yourself:

- Do I have enough information to make the decision on my own, or do I need input from my subordinates?
- Will my subordinates' acceptance of the decision affect their performance in carrying it out?
- Do my workers understand the unit goals involved in this decision? Will involvement in the decision strengthen their support of these goals?
- Is the best decision likely to cause conflict among the members of my unit?

THE BOTTOM LINE.—Whatever your personal decisions concerning group decision making, remember that, ultimately, the responsibility for your decisions is yours alone. You can use the group process to educate your subordinates in decision making. You can gain additional information and insight into problems from your group members; but when *you* make the decision, you are all alone.

SUMMARY

Planning is central to all other management functions. It is one of the most important and difficult tasks you face as a manager. You must carefully and methodically develop plans. Because of the difficulty of long-range forecasting, you must maintain flexibility to keep a plan viable.

You begin good planning with the identification of goals and objectives. Next you carefully evaluate circumstances and available alternatives. Once this is accomplished, you decide upon a course of action and develop alternate plans. Finally, you test your plans against the various criteria for effectiveness and feasibility.

Plans are loosely classified by their purpose, time span, and managerial level. The range of planning tends to increase in direct proportion to the managerial level. Remember to evaluate your plans ruthlessly before putting them to work. Restarting the planning process or scrapping an idea altogether is better than finding you have wasted time, money, and manpower on a bad plan.

Organizing and planning go hand-in-hand; good planning includes the ability to organize and set objectives. Without effective organization, you cannot hope to get a plan off the ground. Take the time to plan and organize your efforts. Poor planning and bad organization waste time, effort, and money. They also breed frustration and a profound distrust of managers. You are the manager whose creditability is at stake.

The principle factor in successful organization and planning is your ability to make decisions. You must develop the ability to make decisions. Learn when to use groups or conferences to make decisions and when to make the decision yourself. Some decisions must be made by a committee, and some can only be made by you.

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CHAPTER 2

CONTROLLING

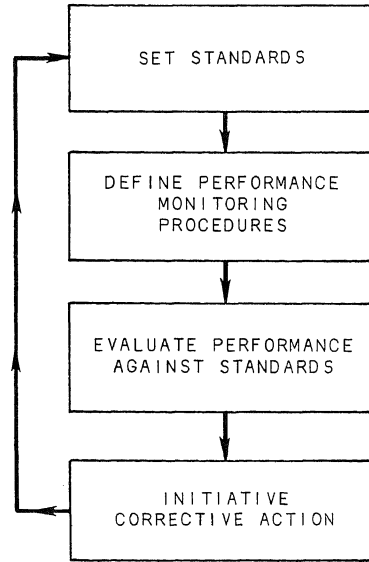
LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. Recognize the steps to effective control.
2. State the criteria for evaluating the effectiveness of controls.
3. Define the major types of control.
4. List the steps in the process of management by exception.
5. Identify the purpose of management information systems.
6. Recognize the difference between quantitative and nonquantitative controls.
7. State the uses of Gantt and PERT charts.
8. State the basic concept of Total Quality Management.

What are controls? Controls are everywhere. The governor on an engine, a fire alarm, a circuit breaker, and extra military instruction (EMI) are all examples of controls. You exercise control when you, the manager, take steps to ensure managerial goals are reached. To achieve control, you must monitor work progress and correct deviations from established standards.

Controls can be total or partial. A smoke detector is a familiar partial control system. It announces the presence of smoke or combustion of products but does nothing to correct the problem. A high-pressure safety valve on a boiler is a total control system. It detects excessive pressure in the boiler and corrects the problem by releasing steam until pressure reaches an acceptable level (established standard).



BASICS OF CONTROL

Although controlling is concerned with every facet of management, planning and control are intimately related. Sound planning determines the direction of an organization. Good plans establish appropriate controls to keep the organization on track.

STEPS TO EFFECTIVE CONTROL

trolling:

1. Set standards
2. Define performance monitoring procedures
3. Evaluate performance against standards
4. Initiate corrective action

Set Standards

To establish control over a process, you must first decide what standards you will use for reference points. Standards define the goals of your efforts. They may be expressed as recruiting targets, quality control goals, budget goals, or flight schedules. These are quantitative standards: 14 recruits a month, zero defects, 10 percent spending reduction, or all aircraft full mission capable (FMC) for a sortee. Other standards involve qualitative goals: sharp uniforms, fair selection boards, or improved morale. Qualitative standards are much more difficult to define and control than quantitative standards.

Define Performance-Monitoring Procedures

The next step in achieving control is deciding how to measure performance, what information to require, and how to obtain it. Performance data may be gathered from personal observation, written and oral reports, inspections, and automatic data processing (ADP) products. Keep control procedures as simple and cost effective as possible. Ensure, however, that they are adequate for the task at hand.

Evaluate Performance Against Standards

Compare performance data to established standards. The results of this comparison indicate where you are in relation to your goals. If everything is on track, take a bow. If things are beginning to stray off course or come unraveled, decide whether or not to take corrective action.

Make Corrections

If performance standards are not being met, you must be prepared to initiate corrective action. Examine your monitoring system; is it accurate? Do performance standards accurately reflect mission requirements? Are your standards too high? Too low? If your monitoring methods and work force factors (morale, leadership, and so forth). Can production efficiency and effectiveness be improved? Is training up to speed? Do leadership and supervisory ability meet your standards? How about morale and environmental conditions. Another possibility is poor planning or organization. You must go to work and get things moving in the right direction again. After all, that's what managers do!

EVALUATING YOUR CONTROLS

Most commands have four key areas of control: financial control, inventory control, quantity control, and quality control. Use the following criteria to evaluate your command's controls:

- Timeliness—Controls must provide timely detection and correction of problems to minimize wasted time and resources.
- Accuracy—Accurate monitoring procedures allow you to pinpoint potential problems for correction.
- Acceptability—Controls must be reasonable. Unnecessarily stringent controls generate resistance within the work force. When workers feel they aren't trusted or fail to understand the need for controls, they may circumvent the system. You are no doubt familiar with the term *gundecking*. You may even know someone who has been guilty of gundecking.
- Cost-effectiveness—Controls consume money and manhours. Unless a control system will save more than it costs to implement, look elsewhere for a solution.

As you apply these principles of control, you must consider the time frame in which your controls operate. Controls operate in three modes in relation to time: feedforward, concurrent, and feedback.

- Feedforward control—This control, the most dynamic of the three, is designed to discover problems before they occur. Drawbacks to feedforward control are the heavy investment of time and the detailed management required to make this system work. A maintenance manager who adjusts leave and liberty schedules to meet

control.

- Concurrent control—This type of control effects corrections as they are needed. It does not predict them. When the process under control deviates from acceptable limits, concurrent control steps in and corrects problems as they occur. When you walk, you constantly monitor your stride and balance to avoid falling. This is concurrent control.

- Feedback control—Feedback control fixes a problem "after the fact." For instance, a defense contractor who discovers during final testing that a component has a defective design must scrap the production run and fix the problem. The contractor may lose money on that one production run, but that is far better than going through a congressional investigation for sending defective parts to the fleet.

There are as many ways of attaining control as there are managers! Even standard control methods are personalized by individual managers to suit personal inclinations and individual situations.

AIDS TO CONTROL

Two increasingly common control concepts are the management information system (MIS) and management by exception (MBE). Management by exception operates on the assumption that lower-level managers (front-line supervisors, etc.) address minor deviations in a process, while senior managers get involved with the more critical problems. Management information systems gather and correlate information for use by managers.

MBE

Any process will have some deviations from standards. Often these deviations are normal and do not require any action. At other times production may deviate far enough from set standards that corrective action is necessary. A manager who practices MBE will delegate enough authority to subordinates that they can make decisions and resolve routine problems. When problems arise that are outside this delegated authority, the manager steps in and makes the necessary decisions. This method leaves the manager free to work on more important aspects of the job. The following steps show the process of MBE:

- Set performance standards. When setting standards, make sure you clearly define acceptable limits.

- Monitor performance. Evaluate performance against established standards.

- Determine whether or not performance deviates from standards.

- Determine the lowest level of management with authority to deal with the problem. Send it up the chain of command, not down.

- Ensure that decisions concerning corrective action are made at the lowest managerial level competent to deal with them.

Following this process solves problems more quickly and allows upper levels of management more time to devote to problems that cannot be delegated.

MIS

Management information systems are nothing new. They are systems designed to organize large amounts of information into units that are needed by managers. Further, an MIS ensures that individual managers receive enough data to make a decision without being buried by needless facts. This may seem contradictory at first glance, but think about it. A commanding officer (CO) does not need a detailed inventory of the supply warehouse. All the CO needs is the supply officer's report concerning mission capability and particular problem areas.

We are most familiar with computerized systems for data handling. You have seen supply system readouts, Manpower Authorization OPNAV 1000/2, and Enlisted Distribution and Verification Reports (EDVRs). Maintenance personnel are also familiar with NALCOMIS (Naval Aviation Logistics Command Information System) and SNAP (Shipboard Nontactical Automated Data Processing System), which provide maintenance management data. Each management field has its own peculiar management information systems. These various information systems normally supply an assortment of reports tailored to the needs of

management.

METHODS OF CONTROL

Control techniques or methods are generally described as either quantitative or nonquantitative.

QUANTITATIVE METHODS

Quantitative methods use data and various quantitative tools to monitor and control production output. Two common quantitative tools are budgets and audits. By far the most widely recognized quantitative tool is the chart. Charts used as control tools normally contrast time and performance. The visual impact of a chart often provides the quickest method of relating data. A difference in numbers is much more noticeable when displayed graphically. Most charts are versions of either the Gantt chart or the Program Evaluation and Review Technique (PERT).

NONQUANTITATIVE METHODS

Nonquantitative methods refer to total or overall control of performance rather than specific processes. These methods use tools such as inspections, reports, direct supervision, and performance evaluation/counselling to accomplish goals.

BUDGETS AND AUDITS

By far the best known control device is the budget. Budgets and control are, in fact, synonymous. An organization's budget is an expression in financial terms of a plan for meeting the organization's goals for a specific period. A budget is an instrument of planning, management, and control. We use budgets in two ways. First, we use them as established facts that must be factored into our operational planning. Second, we use them to prepare narrative descriptions and financial information that our chain of command uses in its annual request for funds and in the management of its funds. At present, the Department of the Navy (DON) uses two major budget systems. These are zero-based budgeting (ZBB) and the planning, programming, and budgeting system (PPBS).

Zero-based budgeting was introduced into the federal government by President Carter in 1977. The Secretary of Defense decided that PPBS would be retained to the maximum extent possible in carrying out ZBB implementation.

Zero-based budgeting requires program managers to examine programs at various funding levels and then rank the programs in order of importance. This requires managers to explicitly identify priorities, set objectives, and develop alternative methods for carrying out agency missions. This system promotes a more effective use of resources. It forces decision makers to review programs comprehensively each year instead of making small, incremental changes from year to year. It also forces management involvement in the decision-making process.

PPBS

Since the early 1960s, the Department of the Navy has used the PPBS to formulate the department's annual budget request. The essential elements of PPBS are as follows:

1. To evaluate the specific goals and objectives of each program
2. To evaluate the yield of the programs against their objectives
3. To determine the most effective options for accomplishing the objectives at the lowest possible cost
4. To execute the PPBS in an ordered, methodical manner and ensure future decisions follow the same process

AUDITS

Internal auditing provides an independent review and appraisal of accounting, financial, and other nontactical operations. As a management tool, the audit measures and evaluates the effectiveness of management controls. The Naval Audit Service provides an independent audit of programs, activities, systems, and procedures. It also provides an independent audit of other operations involving the use of funds and resources and the accomplishment of management goals. Budgets and audits are addressed in detail in NAVEDTRA 10792-E, *Financial Management in the Navy*.

TIME AND PERFORMANCE CHARTS

The most versatile and widely used planning/controlling devices are the Gantt chart and the Program Evaluation and Review Technique (PERT).

GANTT Chart

Remember Henry L. Gantt from chapter 1? One of his most lasting contributions to managers is the chart that bears his name. Although simple in concept, the Gantt chart is the basis for many complex time/performance tracking devices. You may already be using a tracking device based on this concept. The Gantt chart displays time along one side and jobs or projects along the other side. Bars and open lines show the relationship between desired project start and completion dates and actual progress. Open lines indicate the desired schedule. Heavy lines or bars indicate the actual state of completion. See figure 2-2.

PERT Chart

The Program Evaluation and Review Technique was developed by the U.S. Navy Bureau of Ordnance and civilian contractors in conjunction with the Polaris fleet ballistic missile program. Conservative estimates place time saved on the Polaris missile project through use of PERT at nearly 2 years. PERT is based on time-critical planning. A Gantt chart relates activity progress to a scheduled time frame. PERT, on the other hand, provides a means to schedule activities efficiently with respect to time.

Time and progression are the main objective in PERT's flow plans. Flow plans consist of events and the activities that connect them. An event is a specific landmark in your program or project. Events designate the start or completion of an activity.

Circles on a PERT flow chart depict events. Time-consuming activities necessary to complete events are shown by lines connecting events. PERT charts and Gantt charts are similar. However, PERT charts show activities in more detail than Gantt charts in addition to showing how those

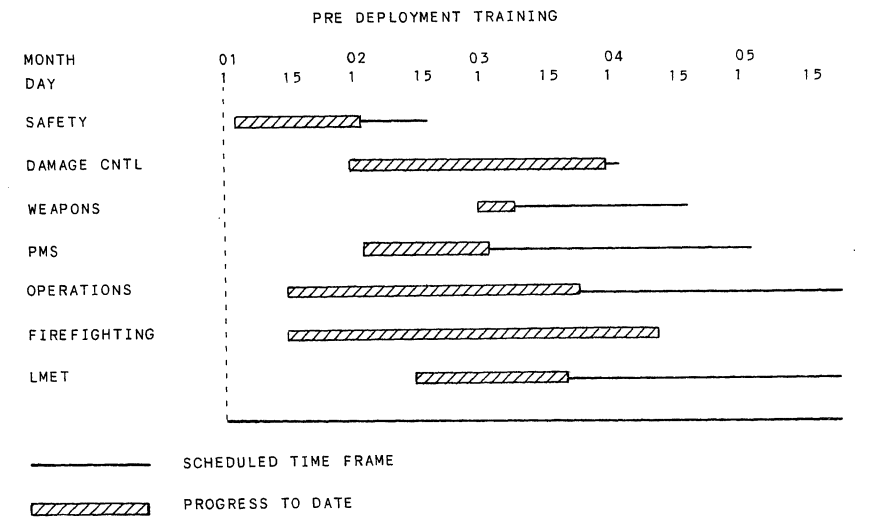


Figure 2-2.—Gantt chart.

2-3.

To develop a PERT chart, take the following steps:

1. Itemize and describe the events required to complete your project.
2. Arrange the events in sequence.
3. Estimate the time needed to complete each event and, as a result, the project.
4. Determine the longest time from beginning to end of your project. This path from starting event to final event is called the critical path.
5. Modify your plan as needed. Remember, you are using PERT to save time. If monetary savings are your main consideration, you will want to use another planning device.
6. Having finished laying out your PERT plan, put it to work and CONTROL IT!

TOTAL QUALITY MANAGEMENT

A major problem facing the armed services today is the lack of more money. Our budgets are not going to increase in the foreseeable future. Indeed, they will probably continue to shrink. Although our present system of doing business is adequate, it will not allow for many improvements in productivity. We have done an excellent job with our present system. To wring any more bang from our buck, however, will mean a change in the way we do business.

Management by objectives is a time-honored tenet of management. Our objectives must now be changed. Today's managers must set their sights on a larger, system-wide objective. This is increased productivity through better quality. The Department of the Navy has recently adopted the concept of Total Quality Management (TQM) as the means of meeting DON needs into the 21st century. Executive Order 12637, signed April 27, 1988, establishes the Productivity Improvement Program for the federal government. TQM IS THE NAVY'S ANSWER TO THIS ORDER.

TQM, WHAT IS IT?

The focus of TQM is the process by which work gets done. The person most familiar with this process is the individual worker responsible for making it work. Often, a process is either unwieldy or just plain unworkable. In a rigid echelons of a need to change a procedure is nearly impossible. Under TQM, management is responsible for making the job as easy as possible for workers. Supervisors and managers should monitor the work process and be responsive to suggestions from the work force concerning unworkable procedures. Sailors in particular are infamous for coming up with nonstandard (but workable) solutions to problems. In some cases, this results in unsafe practices. However, these solutions are often extremely practical. We must develop the ability to ferret out these improvements and incorporate them into standard procedures. This serves a dual purpose. First, it ensures the recommended improvement is usable and meets all applicable standards. Second, the improved method is made available to everyone involved in that process. This is a practical application of "working smarter, not harder."

BENEFITS OF TQM

A popular myth among military managers holds that increased quality results in increased costs and decreased productivity. In reality, improved quality ultimately results in decreased costs and increased productivity. How can this be? A focus on quality extends the time between failures on equipment and improves the efficiency of our operations. It reduces rework requirements as well as the need for special waivers of standards. It also reduces mistakes and produces monetary savings through more efficient use of scarce resources.

Direct benefits of TQM are

- increased pride of workmanship among individual workers,
- increased readiness,
- improved sustainability due to extended time between equipment failures,
- greater mission survivability,
- better justification for budgets due to more efficient operations,
- and streamlined maintenance and production processes.

The bottom line of TQM is "more bang for the buck."

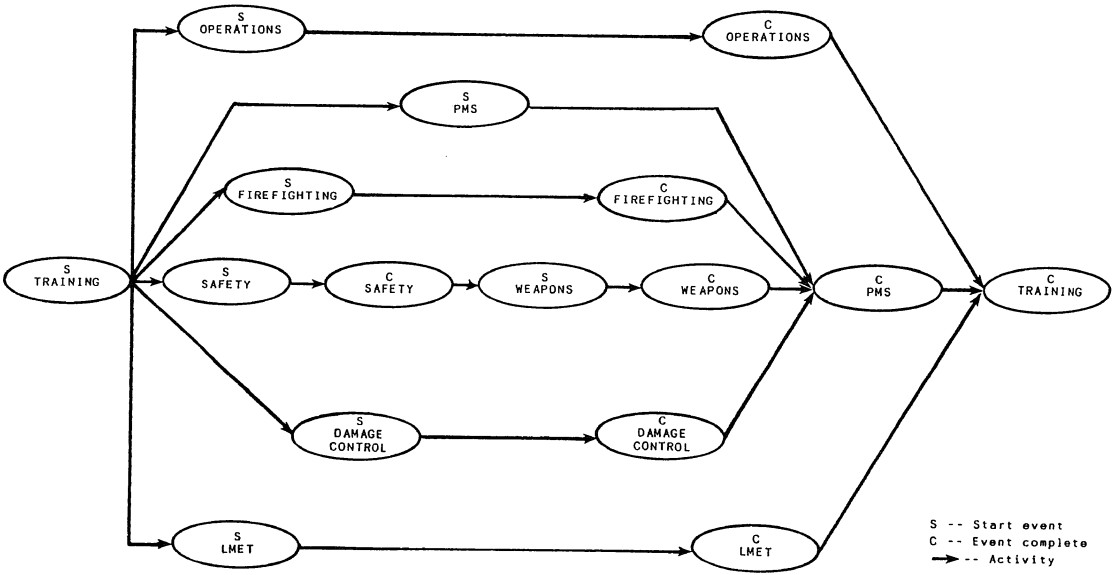


Figure 2-3.—Sample PERT chart.

volves around a change from management by results to management by process (quality) improvement. Managers are tasked with continuously improving each and every process in their organization. This means combining quantitative methods and human resource management techniques to improve customer-supplier relations and internal processes. This cultural change in management practices has certain basic elements:

- Management must clearly state the organization's mission. This must be stated clearly and made available to all employees, suppliers, and customers. A clear, public-mission statement prevents individuals from generating their own definitions of work priorities.
- Managers and supervisors must ensure their actions clearly support the organization's mission. This support includes setting priorities and assigning tasks.
- Management must focus its efforts toward a common goal. This focus is an important part of team building.
- Management must make a long-term commitment to quality improvement. Individual managers must set an example by providing consistent, focused leadership.

TQM FOCUS ON PROCESS

Quality management achieves results by focusing on the procedures and processes that get the work done. Under TQM, management must strive continuously to improve the work process. The primary emphasis of this effort is the prevention of defects through quality improvement rather than quality inspections. Quality cannot be inspected in, it must be managed in from the beginning. Conforming to established specifications is only part of quality improvement. Management must not be satisfied with minimum standards. As standards are met, we, as managers, must look for new ways to improve our product. Find the means to further tighten standards and improve quality. That's your job.

necessary relationship between customer and supplier. No matter what your job, it probably involves a customer-supplier relationship. The Intermediate Maintenance Department of a command is a customer of and supplier to the Supply Department. Aircraft squadrons and supply departments have the same dual roles. At one point, a supply department must establish a working arrangement with a squadron that clearly defines each department's needs and realistic expectations. A career counselor must ensure customers' needs are met. On the other hand, customers must have a realistic understanding of the service the career counselor can render. This mutual understanding of needs and capabilities is needed to achieve customer satisfaction.

LEADERSHIP AND TQM

The essential ingredient of TQM success is leadership involvement. Management controls the process that accomplishes the mission. Quality, however, is in the hands of the workers who do the job. Management, therefore, has the responsibility to drive out the natural fear of change and innovation that is part of most people's basic psychology. TQM must be supported from the top down. This doesn't mean the department head level. TQM must start with SECNAV/CNO-level support and be supported and implemented all the way to the bottom of the chain of command. From admiral to deck seaman, TQM requires a total effort.

SUMMARY

Controls are like the rudder of a ship. They keep our plans on course. Good controls are established during the planning phase of a job. They can be total or partial. Total controls recognize and correct a problem. Partial controls only point out the problem. Effective control is accomplished in four steps: setting standards, defining monitoring procedures, evaluating performance against standards, and initiating required corrections.

Controls are evaluated on their timeliness, accuracy, acceptability, and cost-effectiveness. Another consideration in setting up controls is the time frame you want them to operate in. Controls

operate in three modes in relation to time. Feedforward control anticipates and prevents problems. Concurrent control detects and corrects problems as they happen. Feedback control finds a problem after the fact and attempts to prevent its recurrence.

Styles of management control have changed over the years. An increasingly popular management style is management by exception (MBE). It involves delegating routine decision making to subordinates so that managers are free to concentrate on the major problems. Under MBE, only exceptional problems are passed to upper management.

Management information systems (MISs) collect and correlate data. They get specific information to the appropriate managers to aid them in decision making and planning.

Control methods may be quantitative or nonquantitative. Nonquantitative controls lead to overall control of performance. Quantitative controls involve control of actual work processes. Common quantitative controls are budgets, audits, and charts. At present, the Department of the Navy uses two major budget systems. These systems are planning, programming, and budgeting (PPBS) and zero-based budgeting (ZBB). Most charts are versions of either the Gantt chart or the Program Evaluation and Review Technique (PERT).

The latest development in management is Total Quality Management (TQM). The concept of TQM itself is not new. What is new is the way in which the Navy is implementing it. TQM focuses on improving productivity through managing quality into products and services. Improved understanding between producers and customers is also a major part of TQM. This concept will succeed, but not without the support of the entire chain of command.

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CHAPTER 3

PERSONNEL MANAGEMENT

LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. State the primary manpower management tools.
2. Recognize the need for senior petty officer involvement in both enlisted and junior officer training.
3. Identify the uses of the enlisted performance evaluation.
4. Recognize the importance of performance counseling.
5. State the requirement for career development among subordinates.
6. Identify the uses of the disciplinary tools available to senior petty officers.
7. State the results of good discipline in an organization.
8. Identify the role of punishment in maintaining discipline.

How many times have you heard (or said), "People are our greatest resource"; "A weapon is only as good as the man who fires it"; ". . . wooden ships and iron men." All of these statements are true. The problem many of us face is that we lose sight of or only pay lip service to these ideals. The latter is by far the worst problem because it means you really don't care.

People really are the key. Oh sure, you need material resources; but a dedicated, committed crew can stretch meager resources to amazing lengths. On the other hand, an unmotivated, fractious group may well fail with unlimited resources. The remaining chapters deal with people. Wait, don't panic! This is not a rehash of Mazlow and Johari. These chapters deal with management of your people, communicating up and down the chain of command, and leading from the front. In this chapter we will deal with the practical aspects of personnel management.

MANNING

from? What can you do to get more people? Do you have the right mix of skills and paygrades for your mission? Your primary tools for dealing with manning are the Manpower Authorization (OPNAV 1000/2), Enlisted Manpower Change Request (OPNAV 1000/4), Enlisted Distribution Verification Report (EDVR) (OPNAV 1084/14), and the Unplanned Loss Report (UPLR). The military requirements manuals for PO1 and CPO discuss these documents at length.

TRAINING

Your most important job as a manager is training. As a senior or master chief petty officer, you must train your subordinates to their maximum potential. Technical, professional, and leadership training are all part and parcel of your job. However, your subordinates aren't the only people you must train: junior officers

The chiefs' community often overlooks junior officer (JO) training. Ensigns, lieutenants junior grade (JG), and sometimes even lieutenants need your help and leadership. Sometimes JOs don't want help or refuse to believe they can learn anything from "enlisted" personnel, but these individuals are fairly rare. On the whole, a junior officer has the technical knowledge to perform the job but often needs a strong leadership example to follow. Even with a good classroom education in managing people, you will find that nothing beats experience. You are the one with this experience. Don't set an example that says to the JO, You are in charge; your success or failure is none of my business. Does this sound like preaching to the choir? Think of some of the poor examples you have seen. The following suggestions should help you train your junior officers:

- Set the example; that is what chiefs do best.
- When your seniors or subordinates need information, make sure they have it. Don't let people get blindsided. This is a two-way street.
- Demonstrate the importance of taking care of the troops. An officer must understand the importance of the people as well as the priorities of the mission. Show that getting the most out of people requires first taking care of their welfare.
- Insist on the use of the chain of command.
- Remember, praise in public and criticize in private. You will appreciate this common courtesy when it is returned.
- If you set a bad example, don't be surprised if those up as well as down the chain of command follow your example.

TRAINING SUBORDINATES

The seamen and petty officers working for you today will be in charge some day. They will be the officers and chiefs charged with mission accomplishment and personnel training. These sailors are watching their supervisors and the

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#1 The Chief is always right.

#2 In case the Chief is wrong, refer to rule #1.

—Anonymous

These rules may seem funny when you first read them, but they contain more truth than most of us like to admit. Many young sailors believe these rules. The example you set becomes their conception of the right way to act.

Technical training is a sore point in many commands. Most haven't enough time or money to send all their personnel to the schools they need. For better or worse, the task of providing adequate training comes back around to you, the manager. Ensure training is helping your mission and your troops. Sit in on training lectures. Are they really filling a need or just filling a muster sheet for the training jackets?

On-the-job training (OJT) and cross training are excellent means of upgrading your division's capability. Some tasks require particular schooling; but for every job in this category, dozens of others can be learned on the job. Cross training makes your people more valuable to the Navy and increases their chances of promotion. Save those training dollars for the "must have" schooling. Personnel can earn many Navy enlisted classification codes (NECs) through OJT. The *Navy Enlisted Classification Manual*, NAVPERS 18068E, provides guidelines for OJT credit.

TRAINING YOUR REPLACEMENT

Without question, the most interesting training in which you will be involved is that of your replacement. This should begin the first day of your new job. Who is going to fill your shoes if you are away on TAD, take leave, or become sick? What if you die on the way to work tomorrow? What if you get a chance at a "choice" program? Prepare for the smooth performance of your division in case of your absence.

Maybe you have worked for people who ran their division or work center from a wheel book in their hip pocket. Do you remember the chaos

when you filled a gapped billet? What kind of shape was the unit in? If it was running smoothly, chances are your predecessor trained the senior petty officers well.

Think back to the basic principles of planning. Form a contingency plan in the event of your absence. Your first task will be to identify possible candidates for your replacement. Then you must sort through, consider, and narrow your choices logically until you arrive at a decision. What are some of the criteria you might apply?

- Ensure your candidate has a reasonable amount of time left on board.
- Leadership ability should be readily apparent. The respect of both peers and subordinates is extremely important. After all, you are considering putting this person in charge.
- Consider professional knowledge and personal responsibility.
- Consider past performance in positions of increased responsibility. Review service jackets and evaluations. Consult other chiefs in your outfit; their opinions may help.
- Consider seniority. At times, however, the most senior person will not be the best choice. Use common sense and be prepared to back your decisions.
- Last but not least, interview each candidate. How do you think these individuals will cope with pressure and stress?

These are only suggestions. You will need to tailor the list to suit the circumstances. After you have worked with your crew for a while, you will get a better feeling for everyone's capabilities. Don't be afraid to change your mind or spread the training around. This is, after all, your call.

Once you have made your choice, start training. Bring your "assistant manager" into your confidence and demonstrate your approach to problems and decision making. When a decision must be made, discuss any background information and get your "assistant's" thoughts on the matter. You are not bound by your assistant's opinion, but you may benefit from the logic in reaching a different decision. This will not only educate your subordinate, but also keep your teaching and managerial skills sharp. Teach your assistant the basic management principles, and then let him or her practice them under your supervision. Use your trainee as a sounding board for ideas you may have. Teach the trainee to play devil's advocate by trying to find holes in your logic and arguing both sides of plans and decisions. You will soon be able to delegate some of your routine business to this individual to pass along the feel of your job. Remember the guidelines to delegation:

1. Retain the responsibility.
2. Delegate the necessary authority along with the job.
3. Back your assistant's decisions.
4. Praise in public.
5. Correct (chew out, counsel, etc.) in private.
6. Learn to supervise without micromanaging.

This last item may well be the hardest for you to accomplish, but it is also one of a manager's most important skills. Few people stifle initiative and innovation (not to mention morale) faster than a micromanager; more on this beast later.

EVALUATING

The performance evaluation, for better or worse, has a greater impact on enlisted personnel than any other single factor in their naval service. Does this seem like a strong statement? Think about it. This document is the most significant personnel management tool in the enlisted record. Its primary use is by the Commander, Naval Military Personnel Command (COMNAVMILPERSCOM), in making advancement and assignment decisions. It is also used in determining eligibility for the Good Conduct Medal, reenlistment, and character of service at time of discharge. Various selection boards use performance evaluation reports to select members for advancement, continuation on active duty, retention, appointment to commissioned status, assignment to special duties, and special educational programs. The enlisted evaluation report has a direct bearing on morale and discipline and, consequently, future performance.

As senior and master chief petty officers, you have doubtless been involved in the evaluation process for some time. But when did you last actually read NAVMILPERSCOMINST 1616.1A (*The Navy Enlisted Performance Evaluation System*)? Many changes have been made to this instruction; as of this writing the latest change was in August 1989.

You know by now how to write an evaluation, but some problem areas cause people to get confused. When is block 38 (Management) used? What is the purpose of block 39 (Overall Evaluation)? What does a check in block 41, 42, or 43 (Recommended, Progress Toward, or Not Recommended) really mean? What is required and what is not allowed in an evaluation rebuttal? Where do you find "the rest of the story" on evaluations involving reduction in rate, the Board of Corrections, indebtedness, and other special considerations?

Block 38

Let's start with the blocks mentioned earlier. Block 38 is for use on evaluations of E-7s, E-8s, and E-9s ONLY. This trait evaluates a chief petty officer's ability to successfully manage personnel, material, and financial and time resources. It measures the member's ability to plan and organize and to use subordinates effectively. Although you may wish to impress a selection board by describing in this block one of your all-star PO1's accomplishments, you are not allowed to do so. This block must be marked NOT OBSERVED for E-6 and below.

Block 39

Block 39 is another area that generates much unwarranted confusion. Although the mark entered in block 39 should be consistent with the marks assigned in blocks 27 through 38, block 39 is a judgment call by the reporting senior. It need not match the column that has received the majority of the marks assigned, nor should it be determined through numerical averaging. This block provides the reporting senior the opportunity to express an assessment of the member's overall value to the Navy.

The advancement recommendation (blocks 41, 42, and 43) is widely misunderstood although NAVMILPERSCOMINST 1616.1A specifically defines each of these blocks.

Check block 41 (Recommended) if the individual is fully capable of satisfactorily performing the duties and responsibilities of the next higher paygrade. You may check this block regardless of the individual's qualification or eligibility for advancement. Checking this block is an official recommendation for advancement, requiring appropriate service record entries. (See *Manual of Advancement*, BUPERSINST 1430.16C.) Use of this block is not authorized if the individual is medically diagnosed obese, measures overfat for three consecutive physical readiness test (PRT) cycles, fails, or fails to participate in the PRT for three consecutive test cycles. (See *Health and Physical Readiness Program*, OPNAVINST 6110.1C.)

Block 42

Check block 42 (Progressing Toward) if the individual is making progress toward being recommended for advancement but is not yet fully capable of satisfactorily performing the duties and responsibilities of the next higher paygrade. USE OF THIS BLOCK IS NOT AUTHORIZED IF THE INDIVIDUAL HAS BEEN PREVIOUSLY RECOMMENDED FOR ADVANCEMENT. (See block 43 below.)

Block 43

Check block 43 (Not Recommended) if the individual is not capable of satisfactorily performing the duties and responsibilities of the next higher paygrade and is not progressing toward that end. If the individual was previously recommended for advancement and is not now capable of performing satisfactorily at the next higher paygrade, use of this block is mandatory. In this case, use of this block constitutes an official withdrawal of the advancement recommendation; appropriate service record entries must be made as required in the *Manual of Advancement*, BUPERSINST 1430.16C. Checking this block is an adverse action and must be supported in Block 56 (Evaluation Comments) and referred to the member. Use of this block is mandatory if the individual is medically diagnosed obese, measures overfat for three consecutive PRT cycles, fails, or fails to participate in the PRT for three consecutive test cycles.

Military members may submit a statement concerning any matter of official record. The statement must be temperate in tone and confined to pertinent facts; it may not express opinions or impugn the motives of other persons. Article 1110 of *Navy Regulations* provides that matters of an adverse nature will not be placed in records of persons in the naval service without their knowledge. Members must sign the statement of understanding concerning their right to a statement on the evaluation form. However, reports of an adverse nature must be referred to members for a statement before inclusion in their record. A performance mark of 2.8 or lower or use of block 43 (Not Recommended for Advancement) is an example of a report of an adverse nature. Members must respond by either submitting a statement or communicating, in writing, a desire not to make a statement. Individuals are allowed up to 15 days to respond to adverse reports referred to them for statement or comment. Commanding officers may grant an extension of an additional 15 days upon the member's request. In all cases the report should be forwarded to COMNAVMILPERSCOM (NMPC-322) within 30 days. Section 1 of NAVMILPERSCOMINST 1616.1A provides more detail on this procedure.

Performance Counseling

You must provide counseling throughout the evaluation period. Don't wait until you have slam-dunked subordinates to inform them of inappropriate actions or tasks they are doing incorrectly. You should have a documented counseling session (preferably several) addressing performance weaknesses. Remember to have positive counseling for your good performers. A pat on the back is great for morale. A written counseling note in a person's folder will help your memory when evaluation time rolls around. The same holds true for your slightly tarnished stars. Let them know when they have failed to fulfill your expectations. Counsel individuals as soon after an event (positive or negative) as possible. Document the counseling whenever possible. The longer the time span between the event and counseling, the more room for misunderstanding and repeated error. Reporting seniors are allowed to maintain notes on subordinates for evaluation and similar purposes as long as the notes are for their personal use only. Formal counseling documentation is not easier for your relief, especially if, as so often happens, your billet is gapped.

DEVELOPING EVALUATORS

Developing the management skills of your subordinates is another of your responsibilities. This is especially true in the realm of performance evaluations. How many times have you received a first class petty officer's rough evaluation of a subordinate only to discover it is more like a brief outline. To save time, did you correct it, fill in the narrative portions, and send it on? We have all been guilty of this at one time or another; but what did that PO1 learn about evaluations? Not as much as would have been learned if you had made the PO1 do the job right in the first place. After a few evolutions like this, a pattern develops; this improper pattern evolves into the assumption that "it's always been that way." Although it takes time, you should counsel your supervisory personnel on preparing evaluations, point out their errors, and send the roughs back to them for correction. The result is a better evaluation, a more knowledgeable supervisor, and, ultimately, less work for you.

Insist on correct punctuation and spelling from your supervisors. Let them know your evaluation of them in the area of written communication will be influenced by the evaluations they send to you. One day they will be chief petty officers too. Teach them to communicate now. Yielding to the temptation to do it all yourself because you know how only results in poorly trained subordinates and more work for you.

Another aspect of training is the debrief. When you debrief your troops on their evaluations, have their supervisor present to answer their questions. After all, the supervisor is the one who actually observed their performance in most cases. This increases a supervisor's sense of responsibility for subordinates and reenforces the supervisor's authority in the eyes of subordinates.

Ensure that subordinates understand the evaluation process. A training session for your supervisors before each evaluation period will help clear the air of any misconceptions. Let them know just what you expect of them and what they should expect of you. Brief them on adverse marks and the member's right to respond. Emphasize the differences between documented facts, informed opinions, and personality conflicts. Blocks 27 through 38 deal with fact.

Block 39 is an opinion. Personal likes and dislikes do not enter the process.

COUNSELING

Counseling is another important duty. Properly done, counseling will reduce personnel "downtime" and improve morale. Counseling, whether positive or negative, demonstrates to your people that you care. Another benefit of counseling is preventive in nature; when people are not doing good work, periodic counseling can correct a deficiency before it becomes critical.

PROBLEM SOLVING

Sailors are capable of developing an almost infinite variety of problems, which may or may not be job-related. Since these problems ultimately affect the job performance of your subordinates, they should be of concern to you. In some cases members may come to you with their problems. In others you will have to recognize the existence of a problem and discover its nature on your own. You should be able to recognize changes in behavior that often signal problems. Some indicators of an individual's need for help may be declining job performance, changes in attitude, or withdrawal from friends and associates. Difficulty getting to work on time, constant demands on a supervisor's time, and rebellion against authority or the system in general often indicate personal problems. Do you remember the old saying about 20 percent of the people causing 80 percent of the problems? You can expect to spend 80 percent to 90 percent of your "personnel admin" time on this same 20 percent. But that's why you get the big bucks.

Set the Stage

When counseling is necessary, no matter what the reason, you should first try to "set the stage." What does this mean? If possible, wait until after normal work hours or at least until a lull occurs in the tempo of operations to talk with the individual. Try to find a quiet place where you will not be interrupted. This may be extremely difficult in many operating environments, but do the best you can. Your quiet place may be an office or a vacant corner of the hangar deck, but

Nondirective Counseling

Nondirective counseling occurs when you allow your subordinates to determine the direction of sessions. Your primary task will be to listen to what they are saying. Show that you are actively listening by reacting to what is said. Occasionally restate what has been said. Try to develop a nonevaluative style of listening and responding. This will encourage individuals to open up and work out frustrations, fears, and worries without fear of embarrassment. In many cases simply letting people talk out problems can help them find a solution. Use occasional, general questions to guide the conversation. Avoid questions that can be answered "yes" or "no."

Directive Counseling

Often your counseling efforts will consist of little more than providing information, pointing out infractions, or failing to use common sense. How you do this will depend entirely upon your personality and the personality of the individual being counselled. Use common sense in developing your approach. At other times you will have to work a little harder to get to the root of a problem and find a solution. When an individual approaches you with a request for specific information or your opinion, this "directive" approach is easy to use. You should exercise caution when expressing opinions, however, as they can become loaded guns if not carefully thought out and expressly worded.

Your front-line supervisors are the first link in spotting problems. They are in daily contact with the workers in your unit or division. Ensure that they know how to spot problems and counsel their workers. If they can't solve a problem, they should pass it up the chain of command to you.

Don't be afraid to seek help if you are faced with an unfamiliar situation. The chaplain's office, legal officer, and your personnel office can often help solve problems or offer advice. Be aware of the resources available to you. The morale and job performance of your people depend on your ability to manage human resources. Unless you make a conscious effort to develop this ability, your leadership will never reach its full potential.

CAREER DEVELOPMENT

Today, more than ever before, competition for

people. If possible, develop a career development program within your unit/division. Include the following in this program:

- Ensure your petty officers are aware of their career path.
- Become knowledgeable in the various special programs available to your workers. Maintain current information within your unit/division.
- Train personnel in all aspects of the next higher paygrade.
- Make available the *Bibliography for Advancement Study* for each rate/rating under your control.
- Emphasize study of the *Bibliography*, job-related references, and a thorough working knowledge of each person's rate, not just the training manual. Rating examination questions may also be taken from any job-related reference or experience as well as those sources listed in the *Bibliography for Advancement Study*.
- Base your training on the advancement knowledge required.
- Make your training useful and meaningful to your people. Do they have the necessary background for the training lesson? Are you providing the same training to your PO1s that your E-3s and PO3s are receiving?
- Specialize your training sessions by rate. Senior petty officers may need training in the same subjects, but their training should be more in-depth.
- Ensure each person has a current *Advancement Handbook* for his or her rating.
- Base your training program on the requirements of the *Advancement Handbook*.
- When you assign collateral duties, keep in mind that a well-rounded individual has a better chance for advancement. Rotate the collateral duties periodically.

your front-line supervisors on an annual basis. This is particularly helpful among senior first class petty officers, although it may be impossible in many specialized jobs.

DISCIPLINE

In every group you will find a few people whose sole interest in life is to complete their time and leave the Navy. Most of them are merely disinterested, but from their ranks many troublemakers arise. Any single division may have only one or two of them; as a whole, however, they present a problem. Properly motivated and instilled with a little moral responsibility, they can become a great asset. All are important; therefore, we must not lose their services through failure to redirect their interests and energies.

You must make the rebellious ones understand they must not only abide by rules in the Navy, but everywhere they go. Point out that rules serve as a guide by which we live and, if followed, make life easier and more pleasant for all of us. Teach them that the more they discipline themselves, the less they will be disciplined by others. Explain their importance to the team and their shipmates' dependence on them day by day as well as in battle. Help them realize that increasing their knowledge, achieving promotion, and assuming more responsibilities are, in many respects, no longer matters of personal preference but duties.

Discipline and leadership are essential to a military organization. The word *discipline* comes from a Latin word meaning "to teach." It refers, however, to a certain type of teaching. Discipline is not peculiar to military organizations. Discipline is the training that develops self-control, character, and efficiency or is the result of such training. Discipline, rightly viewed, is a character builder rather than a destroyer of individuality.

Navy discipline consists of training men and women to behave in certain ways under certain circumstances. It enables them to work as a unit with maximum efficiency. To encourage them toward this end, the Navy uses a system of motivation and correction through reward and punishment. Studious Navy men and women, when recommended by their commanding officers, are rewarded by timely promotions; lazy or careless individuals suffer a self-inflicted punishment by missing out on these promotions. Those who get into trouble because they are

whole—the compliance with rules or policies intended for the orderly coordination of effort. In a study on this subject, Admiral Arleigh Burke, USN (Ret.), stated that "a well-disciplined organization is one whose members work with enthusiasm, willingness, and zest as individuals and as a group, to fulfill the mission of the organization with expectation of success." The signs of discipline are manifested in smart salutes, proper wearing of the uniform, prompt and correct action in an emergency, and in battle efficiency that brings victory in wars. Discipline, obviously, is indispensable to a military organization. Without it a unit's efforts will be defeated by lack of organization. Discipline demands habitual but reasoned obedience to command—an obedience that preserves initiative and functions unfalteringly even in the absence of the commander.

Discipline leads to an efficient military organization, a body of human beings trained and controlled for concerted action for the attainment of a common goal. Individuals understand how they fit into the organization as a whole. The members understand one another through the sharing of common knowledge. They are bound together by a unity of will and interest that is expressed by their willingness to follow and obey their leader. A group so organized is effective not only for the specific purpose intended, but also in the face of an emergency.

The rewards of good discipline are found in various ways in the naval organizational structure. Positive results are evident as sailors advance in rate, as a division receives a passing grade on an inspection, or as a ship successfully completes a deployment.

One reward of good discipline for enlisted personnel may be in the form of a Good Conduct Medal. If individuals are disciplined, they will learn their rate and be rewarded with promotions.

These same individuals, when placed in a division, will help establish discipline there. The responsibility for divisional discipline falls on the petty officers, chiefs, and the division officer. The reward of a well-disciplined division is high morale and smooth, efficient operations.

Discipline has to be present to make any organization work, but this is especially true in the military. It is what brings individuals together as a military team. Thus, a gun crew may be gency and is not subject to panic.

Punishment is not personal or vindictive, nor is it inflicted as revenge. You must realize that punishment cannot right a wrong. The value of punishment lies in the object lesson it furnishes the wrongdoer, and others, that the offense must not be repeated. This concept is referred to as the deterrent theory of punishment.

To accomplish its purpose, punishment must be consistent and just and must be recognized as such by the recipients and their shipmates. Punishment should neither be of such a nature that it lowers the recipient's self-esteem nor be so severe that it is out of proportion to the offense.

Recipients of punishment should keep two facts in mind: first, personnel are punished only as a result of their misbehavior; second, they will not be punished again if they learn to conform to Navy standards of conduct.

The administration of punishment is not personal; therefore, those who administer it should be shown no malice. They are carrying out their duties as required by Navy regulations.

EXTRA MILITARY INSTRUCTION (EMI)

EMI, while not punitive in nature, is one of the most flexible and useful tools at your disposal. In most commands EMI authority is delegated to division chiefs and sometimes to CPOs, and on rare occasions it may be delegated to qualified petty officers. Although this authority must be used wisely, it is certainly no substitute for leadership. Rather, it is a tool for good leaders. Properly applied, EMI can be used to correct unacceptable behavior before it reaches the point where drastic measures are needed.

In applying EMI, you must be careful to be evenhanded. Remember that EMI is not so much a punishment as it is training to correct a noted deficiency. It is not extra duty, which is work assigned outside normal duties. Since extra duty is punitive in nature, it can only be awarded through nonjudicial punishment (NJP) or by a court martial.

WITHHOLDING PRIVILEGES

Although the authority for this measure rests with the person who extends the privileges (usually

the commanding officer), you can and should recommend this measure when appropriate. This authority is sometimes delegated to lower echelons but only rarely to enlisted ranks.

NONJUDICIAL PUNISHMENT (NJP)

Use nonjudicial punishment (NJP) or captain's mast as a last resort in matters of discipline. Although many leaders regard NJP as the result of failure on their part, this "just isn't so." Some individuals simply will not respond to leadership, extra duty, or EMI; they are destined to experience captain's mast. This is not your personal failure. In cases such as this, don't hesitate to use report chits. In most cases your commanding officer will seek your feelings in advance concerning fitting punishments. Give your commanding officer your best evaluation of the most appropriate corrective measures. NJP often has constructive results. Although punishment at captain's mast (NJP) is recorded in a member's service jacket, it does not carry the far-reaching consequences of a conviction by court martial. Never threaten to place someone on report but fail to follow through. This lessens your authority and invariably leads to lack of respect for your position.

COURT MARTIAL

A court martial conviction in the case of a felony offense is a federal conviction. This is the same as a conviction in federal court and has the same effect on a member's life. For this reason, election of court martial instead of nonjudicial punishment is not a decision to be made on the spur of the moment.

In legal matters, steer your subordinates to the legal services officer for advice. Counsel them to avoid sea lawyers and to obtain legal opinions from legal officers.

FAIR AND EQUAL TREATMENT

In conclusion, discipline must be administered fairly. It must be timely to have full impact. Service members subjected to disciplinary measures must have a clear understanding of the offense and the steps they must take to correct the deficiency. Properly administered discipline can be a constructive experience. Take pains to get the accused's side of the story. Make sure that person receives good advice. If the service member comes away feeling that he or she was "railroaded," bitter feelings will result. This in turn results in diminished respect for the chain of command and the organization.

Middle-grade petty officers normally take several years to develop the leadership traits required of a good disciplinarian. Many are too close to their subordinates to be truly effective and some tend toward "authoritarian overkill," which also reduces effectiveness.

Since ensigns or lieutenants (JG) may be close to their subordinates' age or even younger, they frequently experience similar difficulty with personally disciplining subordinates. You as a senior or master chief can give valuable assistance by advising and teaching these young officers about administering discipline. Actively practice timely, consistent, evenhanded discipline. Set the example.

JAGMAN INVESTIGATIONS

What are the facts? Again and again and again—what are the facts? Shun wishful thinking, ignore divine revelation, forget what "the stars foretell," avoid opinion, care not what the neighbors think, never mind the unguessable "verdict of history"—what are the facts, and to how many decimal places? You pilot always into an unknown future; facts are your single clue. Get the facts!

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As senior and master chief petty officers, you will occasionally be involved in JAGMAN investigations. When tasked with an investigation, a good starting place is your legal services officer. The legal officer will have the appropriate forms and references you will need. If you are unfamiliar with this type of investigation, don't hesitate to ask for advice.

Your primary task as an investigator is the gathering of information. You must carefully separate truth from fiction and opinion. Having arranged all available factual information in some sort of order, try to draw logical conclusions about the matter under investigation. While

serving in this capacity, be fair and unbiased; the object of an investigation is truth. Any hint of favoritism, bias, or preconception on your part will cast doubt on your conclusions.

SUMMARY

Managing your people is perhaps your single most important job as a senior or master chief petty officer. Awareness of manning priorities and the means of achieving them are of paramount importance. You cannot lead personnel you do not have.

Seniors and juniors alike observe your example as a chief. You must set the proper example for your troops; but rest assured, many junior officers will form lasting opinions about the way the Navy ought to be run from observing your actions.

Training your relief is but one of the many training responsibilities you must shoulder. Pass along your hard-won knowledge to subordinates; you will be building the leaders of tomorrow. In today's Navy, training is becoming more and more important while the training dollar is steadily shrinking. You have the responsibility to see that training is adequate to meet or exceed mission requirements.

You are probably the most visible example of discipline in the Navy. If you aren't, you should be. Discipline is the grease that keeps the wheels turning. A well-disciplined unit can perform near miracles. Train your subordinates in leadership and discipline principles. Teach them to use evaluations, counselling, and personal example to maintain discipline and lead their troops.

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CHAPTER 4

ADMINISTRATION

LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. Recognize the difference between line and staff responsibility.
2. State the definition of functional authority.
3. Identify the role of staff organizations.
4. Identify the role of a specialized staff.
5. Identify the purpose of a personal staff.
6. State the difference between line and staff authority.
7. Recognize the need for coordination between line and staff units.
8. Identify the reason for inspections.
9. List common types of inspections.
10. Identify the need for an increased awareness of civilian labor roles among senior and master chief petty officers.
11. Identify the first federal agency to employ union workers.
12. State the effect of the Civil Service Reform Act.
13. List the do's and don'ts of labor-management relations.
14. State the three primary classes of productivity software.
15. Identify the uses of productivity software.

This chapter briefly explores the relationship between line and staff responsibilities in an organization. Other topics include inspections, the growing role of civilian labor in today's military, and the increasing role of computers in the workplace.

LINE AND STAFF

The roles, responsibilities, and authority of line and staff are frequently confusing to managers up and down the chain of command. The basic concept of line and staff is simple. The line organization is responsible for production (manu-

LINE RESPONSIBILITY

Line organizations are the operational departments within an organization. Operations, weapons, and aircraft maintenance departments are all line units. Their responsibility is the actual accomplishment of the command's mission. If a particular department's task is meeting the command's mission requirement, it is a line department.

STAFF RESPONSIBILITY

Staff organizations exist to provide support services to the line. The following are examples of staff personnel and activities:

- Legal Services
- Disbursing
- Command master chief
- Command career counselor
- Safety
- Family Services
- Morale, Welfare, and Recreation (MWR)

Staff employees fall into two general categories: specialized staff and personal staff.

Specialized Staff

A specialized staff provides advice and assistance to all elements of an organization, both line and staff. Its tasking is relatively narrow in scope and includes the personnel specialist, safety expert, and others like them.

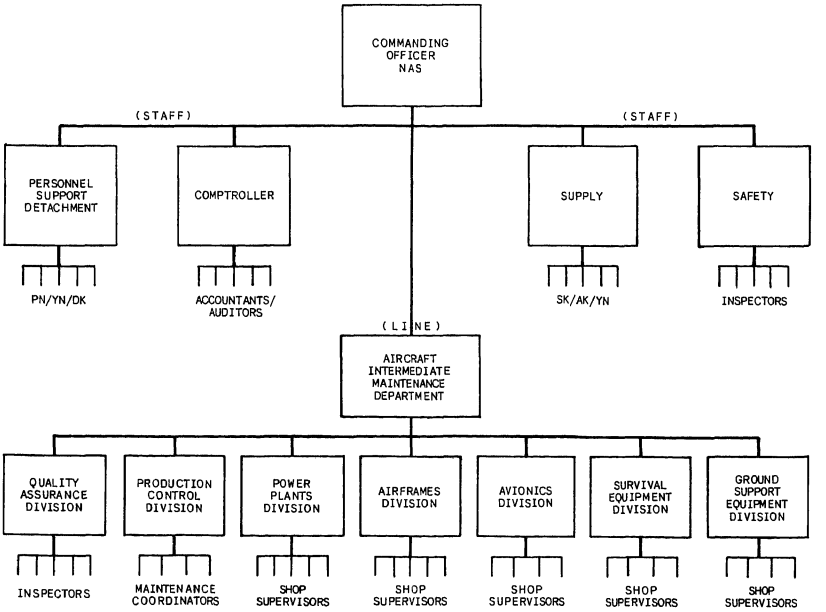
Personal Staff

A personal staff exists to help an individual manager. Command level examples of personal staff are the executive officer, public affairs officer, and supply officer. At the department level, staff consists of data analysts, Yeomen, and administrative assistants.

Although staff positions seldom contribute directly to the command's mission, their support is vital to continued readiness.

AUTHORITY

The authority exercised by line and staff units normally relates to the unit function (i.e., line or staff). Individual department heads retain line authority over their subordinates. Figure 4-1



illustrates this concept. In some cases staff units may have the authority to control line activities directly. For example: a safety inspector orders a shop to cease work because an unsafe condition exists. Figure 4-2 illustrates this overlapping, or functional, authority.

Line Authority

Line authority is exercised through the chain of command. Each level of management exercises *line authority* over its immediate subordinates. Line authority extends down through the various levels of an organization. Whether an organization's function is line or staff in nature, its managers exercise line authority over their immediate subordinates.

Staff Authority

Staff authority allows staff units to make recommendations, offer advice, and give counsel to line activities or individuals. Staff units, however, may not direct or command line actions through the exercise of this authority. Staff authority is commonly directed toward the higher levels of the chain of command. Command master chiefs exercise *staff authority* when they make recommendations to their commanding officer.

Functional Authority

Functional authority grants staff units the right to direct or command a line unit's activities in certain circumstances. Normally, this power is limited to activities within the staff unit's area of expertise. The following are examples of functional authority exercised by a staff:

- A quality assurance representative directs a work center to do further repair on equipment that does not meet specifications.

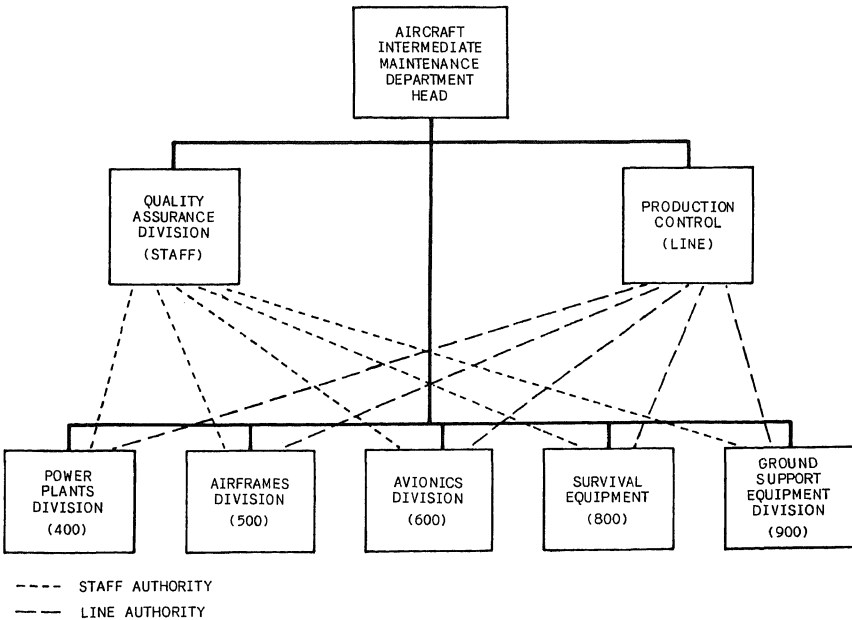


Figure 4-2. Staff units sometimes exercise functional authority over line units.

- A safety representative closes down an unsafe operation.

- The Supply Department requires certain reports and forms from line units.

- Comptrollers demand certain reports and budgetary information from line departments to aid them in providing support.

Line and Staff Coordination

Line and staff units must carefully coordinate their interactions to avoid conflict and confusion. Line personnel often resent perceived *interference* from staff personnel. This occurs when a staff unit exceeds its authority and attempts to direct line activities without functional authority. Resentment frequently crops up as a result of the relative youth of many staff personnel. The fact that staff personnel are generally better educated than line personnel also contributes to these feelings.

In the military, another reason for resentment is the relative lack of seniority among many staff personnel. A commander in charge of a large maintenance department may resent *advice* from an ensign on the commanding officer's staff. A division chief may feel the same way about a Quality Assurance Division petty officer who finds fault with division maintenance practices.

Good coordination between staff and line units goes a long way toward reducing these problems. It also helps reduce time wasted on worry about who gets the credit, or takes the blame, for the results of projects. Coordination begins at the command level. Commanding officers must clearly delineate the authority granted to their staff personnel. Failure of command in this area inevitably leads to confusion and hard feelings down the line.

INSPECTIONS

Inspections exist for several reasons. The most compelling reason we inspect people, programs, or products is to ensure operational readiness. Another common reason we inspect is to ensure compliance with command directives. These include programs such as equal opportunity, career information, and safety requirements. Health and welfare needs generate inspection and the steps necessary to correct them. Common inspections include the following:

- Personnel inspections fulfill the requirements of Navy *Uniform Regulations*. They provide a valuable interface between commanding officers and their commands. Personnel inspections also provide an indication of morale; a sharp-looking outfit feels good about itself and will perform well.

- Quality inspections normally exist in production-oriented units. They ensure reliability and improve readiness among fleet activities.

- Administrative inspections ensure compliance with diverse requirements, ranging from training to historical files. They include inspection for compliance in human relations, career, and other similar programs.

- Operational readiness inspections identify needed improvements before, during, and after deployments. They enable fleet units to correct deficiencies during peacetime rather than to discover them in combat.

- Safety inspections may be recurring or special in nature. They ensure the safety of our operational environment.

Inspections are a major source of conflict between line and staff personnel. Since staff units normally carry out inspections, line personnel often feel persecuted. "They don't understand that we have work to do. When are we supposed to get ready for all these inspections?" This is a familiar refrain. We are all guilty of these feelings occasionally. The trick is to stop and think before you agree with your troops on this. Inspection teams are, or at least should be, made up of highly qualified, knowledgeable individuals. Their purpose is not to disrupt your mission but to make sure the mission is accomplished by the book.

CIVILIAN LABOR RELATIONS

Why should you be concerned with labor unions and union relations with the federal government? The trend toward contract maintenance and support in shore stations is accelerating rapidly. Senior and master chief petty officers are being used with increasing frequency in

you should understand union history and be able to work cooperatively with union members. Your success as a supervisor or co-worker of civilian employees may depend on your understanding union policies and labor relations.

UNION HISTORY

The Navy Department, the first federal agency involved in union activities, had handcraft unions in the early 1800s. Carpenters, mechanics, and blacksmiths—the so-called blue-collar workers—were the primary organizers of these unions. In many ways, however, the postal union was the forerunner of present-day labor union organization in the federal government. The last major type of union to enter the federal scene was the general union. President John F. Kennedy officially recognized unions in Executive Order (EO) 10988, issued in 1962. This EO provides for the establishment of bargaining units within government agencies. It also permits labor organizations to bargain collectively with the government to reach labor agreements for their members. In addition, EO 10988 states that federal employees have the right "freely and without fear of reprisal to form, join, or assist any labor organization or to refrain from such activity." EO 11491, issued by President Nixon in 1971, further defines, clarifies, and provides safeguards for federal employees' bargaining rights. EO 11491 and EO 11616, issued later, also clarify methods of handling complaints about unfair labor practices.

The Civil Service Reform Act was passed in 1978. This act made regulation of federal labor relations very similar in fact and structure to the Taft-Hartley Act regulations governing private sector labor-management relations. As a result, the Federal Labor Relations Board (FLRB) was established to decide cases involving unfair practices and representation and to enforce the provisions of the act. Also created in response to this act was the Office of General Counsel. It functions as an investigative body to decide which complaints and cases of unfair labor practices should be prosecuted. The Civil Service Reform Act dramatically increased the rights of federal labor union members. However, their rights are still not as extensive as those enjoyed by their private sector counterparts. One major difference between federal and private sector labor unions is the legal right to strike. Federal labor unions do not have this right. A graphic illustration of PATCO discovered to its sorrow that the federal government, in the person of President Ronald Reagan, was willing to enforce the regulation prohibiting federal employee unions from striking.

The rapid growth of federal employee unions since 1962 is the result of intensive union organizing efforts. Their activities will no doubt increase. Recognizing this fact, management must equip itself to deal effectively with union efforts to organize and increase membership. An understanding of the rights of two parties—manager and employee—is of vital importance in labor relations. Lacking such an understanding, management can easily commit violations of employee and union rights without realizing it. Often, such management violations deter efficient operation of the government and prevent harmonious relations with employee unions.

First-level supervisors are key persons in the labor relations program. They deal with the union steward at the lowest level of contact between labor and management—the level at which labor disputes should be settled whenever possible. Properly trained supervisors run their shops efficiently to preserve management's rights. Supervisors and managers must limit employee and union activity to what is allowed by executive order and Navy regulations. Supervisors must know the labor and management policies of the labor contract currently in effect in their units.

Unions' goals have remained essentially the same as always: higher wages; a shorter workday; safety; improved working conditions; training; transfer; demotion, promotion, and arbitration rights. As labor organizer Samuel Gompers said, "We want more, now!" Unions cannot, however, negotiate on the unit's mission, budget, organization, work project, tour of duty, technology of performing work, and internal security practices. They also cannot negotiate on the number, type, and grades of positions or employees assigned the unit.

LABOR-MANAGEMENT POLICY

The Department of Defense and Department of the Navy policies and regulations, and certain other higher authorities (such as Congress), govern Navy labor-management relations. The administration of any collective bargaining agreement falls on the shoulders of management. Successful administration of an agreement results

from the relationship you develop between your management team and employees. Events that occur during the term of an agreement have a direct effect on future negotiations and agreements.

Supervisors and contract administrators should establish positive relations with employees and union stewards. They should also promote good, solid labor-management relations. Your attitudes toward the agreement, the union, and the union steward and your behavior in contract administration will greatly influence the quality of your administration.

Always show a cooperative attitude and be consistently fair in dealing with all employees and labor union representatives. In addition, always try to resolve problems and complaints at the lowest possible level. The principles of equal opportunity, fraternization, and freedom from sexual harassment must be rigidly observed. Do these ideas sound familiar? They add up to one basic idea: you must exercise good management techniques at all times.

FOREIGN NATIONALS—THE STATUS OF FORCES AGREEMENT (SOFA)

The Navy's labor relations directives apply only to U.S. citizens. Title VII of the Civil Service Reform Act does not apply to foreign nationals who work for the U.S. government. In regions where the Navy employs foreign nationals at bases and installations, local laws apply, which creates special problems for management. For example, trade unions in Europe are influential in European industry. Supervisors at overseas locations must be especially aware of local conditions and seek advice through their judge advocates when the need arises.

Most overseas naval stations employ local labor. The Status of Forces Agreement between the United States and the host country governs your relationships with these employees. Often, foreign national employees' rights far outstrip those enjoyed by federal employees. Be familiar with the agreement in force at your station. You may be called upon to administer a contract that is already in force or to take part in contract negotiations for new construction and services. You must have a working knowledge of labor union agreements and regulations to achieve

LABOR-MANAGEMENT DO'S AND DON'TS

As a representative of management, you are subject to certain laws, rules, and regulations in dealing with union representatives. A manager is also responsible for ensuring that management's rights are not violated. When acting in this capacity, keep certain do's and don'ts in bilateral relationships in mind. Failure to deal constructively with unions at all levels of supervision and management in the Navy is one of the chief causes of problems in this area. The following list is a brief summary of these constraints and responsibilities. It is by no means complete. It will, however, get you on the right path.

Do's for Supervisors

1. Be familiar with the union contract at your base and know what it means.
2. Know the union steward in your unit. Learn his or her duties, responsibilities, and authority, as outlined in Executive Order 11491.
3. Be strictly neutral in dealing with employees who join unions and carry on union activities.
4. When in doubt about the proper procedure to follow, go to the labor-management specialists in civilian personnel for help.
5. Be familiar with the Executive orders and Navy regulations applicable to your situation.
6. Realize that unions are here to stay.
7. Maintain open communication with union representatives. Be willing to discuss issues and problems in good faith.
8. Know employee grievance procedures.
9. Understand the general responsibilities of each level of management in your organization.
10. If an employee's union activity interferes

it on the proper forms. Do not refer to union activity on an appraisal form. This constitutes interference, restraint, or coercion and violates Executive Order 11491, section 19(a)(1).

11. Inform employees of their right to form, join, or assist a labor organization or to refrain from doing so.

12. Refer complex problems to the labor relations officer in civilian personnel.

Don'ts for Supervisors

1. Don't express opinions that would indicate encouragement or discouragement of labor union membership.

2. Don't question employees about their union membership, union activities, or union sentiments.

3. Don't allow management officials from outside your unit to question employees concerning personnel policies, practices, or working conditions without giving the union representative the opportunity to be present.

4. Don't refer to union activities in performance appraisals.

5. Don't prohibit employees from selecting their own representative in processing an equal employment opportunity (EEO) complaint or grievance.

6. Don't make the subject matter of grievances public. The privacy act applies here.

THE UNION ORGANIZING CAMPAIGN

Federal managers are denied the free speech rights of private sector managers in mounting antiunion campaigns. However, several options are available during the organizing campaign. Once aware of union organizing attempts, you should be able to do the following:

1. Quickly determine whether or not a concerted organizing drive has begun. Make certain the entire management team is aware of that fact.
2. Review employee and union rights with the management team.
3. Review roles and responsibilities of different managers.
4. Conduct additional briefing and training as needed.

Specifically, you, as a military manager, should be prepared to respond to union actions and requests in a manner that reflects management interests and conforms to the intent of the applicable Executive orders.

COMPUTERS

Computers are showing up at a tremendous rate in the Navy workplace. This is either gratifying or horrifying depending on your point of view. Many people feel threatened by computers. The sight of a keyboard beneath an evilly glowing monitor sends them running for cover. What can I say? You must adapt and learn to use computers. You may not have one on your desk today at your present command, but what about your next duty station? What about after you retire? Computers are everywhere in civilian industry. Even the little auto parts shop on the corner uses computers to track inventory and help with payroll. You need to learn what they are all about, in self-defense if for no other reason. It is only fair to warn you, however, that you may enjoy the experience once you take the plunge to learn to use a computer.

A computer is nothing more than a glorified electronic calculator with a few extra bells and whistles. Computers store information, sort facts, and calculate finances. You can use it to type a letter and edit it with ease or even keep up with the statistics on your baseball team.

To operate a computer, you do not need to know algebra, calculus, or programming. If you can read, you can learn to use a computer. The odds are good that a **program** exists to do whatever tricks you require of this electronic servant. A program is simply a set of instructions to the computer. Written in one of several **computer languages**, the program lets you use the computer for a particular purpose. The most common management programs fall into three categories:

- Word processing—These programs allow you to use a computer like a typewriter. But what a typewriter! If you make a

mistake in the middle of a letter or think of a better way to say something, you don't need to retype the whole letter. You can make corrections, additions, or deletions on the screen of your computer before printing.

- Data base—A data base program lets you store facts (data). After storing, you may manipulate the data any way you wish. For instance, a data base containing the vital statistics and specific training on all your workers could produce a listing by age or tell you in seconds who is qualified for a specific job. You can use this data base to keep track of rotation dates, evaluation due dates, and a host of other personnel actions.

- Spreadsheet—This is primarily an accounting tool. It is useful for any task that involves several repetitive calculations. It eliminates the tedious recalculation of financial worksheets for minor changes.

Some of the terms associated with computers sound imposing: disk drive, floppy disk, keyboard, hard disk, network, monitor, and NLQ printer to name a few. Don't let these terms scare you. Do you remember how confused you were the first time an old salt ran off a string of acronyms and naval terms? It probably sounded a lot more confusing than "computereze." The following definitions may help lift the fog a bit:

- Hardware—The machinery that makes up a computer system: the disk drive, monitor, printer, keyboard, and so on.

- Software—The computer's marching orders; that is, the magnetically encoded information you use to *program* the computer.

- Floppy disk—A disk of magnetic material that stores information. Data (information) is stored on the disk in much the same way that music is recorded on a tape. The actual process is a bit more complicated, but you don't need to understand it to use a computer.

- Hard disk—Similar to a floppy disk but capable of storing more data. This item is actually an electronic circuit board that may be installed within the computer or, in some cases, may be a separate unit.

- Keyboard—Your means of controlling the computer. It looks like a typewriter with a few extra keys.

- Disk drive—The unit that reads information from a floppy disk to the computer. When you wish to store information, the disk drive takes it from the computer and places it on the floppy disk.

- Printer—A device that does exactly what you would expect—prints information onto paper. The quality of the print is referred to as *draft*, *near letter quality* (NLQ), or *letter quality* (LQ).

- Monitor—The display screen. It is much like a small television set with only two channels.

- Network—Two or more computers connected together to allow intercommunication and/or sharing of a hard disk or printer.

As you become familiar with computers and their uses, you may wish to learn more about writing programs or using some of the more exotic accessories available. You do not need to get that involved to use a computer, however. Most commands now have an office or at least a person designated to train Navy and DOD civilian personnel in computer usage.

SUMMARY

Line and staff departments and their personnel are essential to an organization the size of the U.S. Navy. Line and staff units must coordinate and cooperate with each other to ensure a smoothly functioning organization. Although staff and line units have different functions and chains of command, their authority derives ultimately from the same source. Line and staff units require the most coordination in the areas in which their authority overlaps.

Inspections are an excellent example of line and staff interaction. They are often performed by staff personnel on line units. Inspections make

production efforts and point out what we should do to correct our errors.

Civilian labor is appearing in ever-expanding roles to stretch limited manpower resources. To maintain an effective organization, you must learn to work with, supervise, and work for these civilians. Hand-in-hand with civilian labor are labor unions. Become familiar with the limitations and rules that affect management-labor relationships. Cooperation between Department of Defense civilian labor and military personnel is vital to the Navy's mission.

Computers are used in virtually every facet of management today. To grow and improve in your capacity as a military manager, you need to become computer literate. You don't need a doctorate in engineering to operate a computer, just a little common sense and the ability to read and comprehend basic manuals.

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CHAPTER 5

LEADERSHIP AND MOTIVATION

LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. Define Leadership.
2. Define the core values of the United States Navy.
3. State the major types of authority.
4. State the source of legal authority.
5. State the definition of earned authority.
6. State the definition of moral authority.
7. List the six sources of power.
8. Recognize the best way to increase power.
9. State two ways power may be lost.
10. Recognize the extent to which authority, accountability, and responsibility may be delegated.
11. State the need for maintaining the proper chain of command.
12. State the definition of motivation.
13. Identify the importance of motivating subordinates.

Wars may be fought with weapons, but they are won by men. It is the spirit of the men who follow and of the man who leads that gains the victory.

—General George S. Patton

Leadership is one of the most overworked words in the Navy's vocabulary. We use this term, along with others such as tradition, professionalism, and integrity, to describe our goals and expectations to our people. We attempt to teach it in our Navy schools and, hopefully, try to instill it in ourselves and our subordinates. But how many of us have sat down and really tried to understand the nature of leadership? The mechanics and terminology of leadership can be taught in a classroom, but what makes a real leader? In this chapter, we will try to shed some light on this elusive subject.

The two highest achievements of the human mind are the twin concepts of "loyalty" and "duty." Whenever these twin concepts fall into disrepute—get out of there fast! You may possibly save yourself, but it is too late to save that society. It is doomed.

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LEADERSHIP

The following is the Navy's definition of leadership: the art of influencing people to progress towards the accomplishment of a specific goal. Leadership, then, is the art of accomplishing

such qualities as intellect, understanding, and moral character. These qualities allow a leader to inspire and motivate a group of people to do the very best they can. To be truly effective, a good leader must set a personal example and demonstrate moral responsibility. Leadership is an integral part of good management.

CORE VALUES

The Chief of Naval Operations implemented core values to promote personal excellence in the Navy. He accomplished this by developing a commitment to a core set of Navy traditions and values, which are in consonance with our national values. To determine just what these values should be, the Navy conducted an extensive review in 1987. More than 100 sailors representing all communities, fleets, and many positions within the chain of command were individually interviewed. In these interviews sailors were asked to do the following:

- Describe "tough situations" that posed values conflicts or ethics dilemmas
- Characterize those persons they admired most and least in the Navy
- Discuss in very real terms the values that the Navy represents

These interviews produced many enlightening accounts and personal insights, most of which revolve around a set of command themes. Those values most often portrayed in everyday decision making and felt to be most important to the Navy are as follows:

TRADITION

- Concern for people
- Patriotism
- Courage
- Spiritual heritage

INTEGRITY

- Honesty
- Honor
- Responsibility
- Competence
- Teamwork
- Loyalty

These are the values that are traditionally held and demonstrated by the chiefs' community. You are the source from which our sailors must learn these values.

In 1986 Admiral James B. Watkins, Chief of Naval Operations, sent a delegation to the Naval War College to develop a "Code of Ethics" as part of his effort to promote personal excellence in the Navy. The result of this project was "The Navy Uniform" (fig. 5-1), which was later simplified to "The Sailor's Creed" (fig.5-2). Together they provide an excellent guide to the requirements of a superior Navy leader.

EFFECTIVE LEADERSHIP

The special authority and responsibility granted to you is an example of position power. The mere fact that you are a manager, however, does not make you an effective leader. Some managers are highly effective leaders; others are rather ineffective. We emphasize this point because one popular idea seems to be that position power is closely related to effective leadership. This may or may not be true. In today's complex and technical military service, the traditional form of "heroic" personal leadership is changing to a manager form. The wide range of skills we need to accomplish our goals requires us to take an active part in the team effort of decision making. In most cases, the "ours not to wonder why, ours but to do or die" approach is outmoded. Today's approach puts greater emphasis on human relations and group motivation as a means of achieving effective performance.

LEADERSHIP VARIABLES

Leadership is a function of three broad variables: (1) the characteristics of the leader, (2) the characteristics of the followers, and (3) the characteristics of the situation in which the leader and followers are involved. Numerous studies show that a leader's effectiveness depends on that person's ability to relate to these variables in choosing the appropriate style of leadership. When leading sailors who are highly dependent

The Navy Uniform

You wear the Navy uniform.
That means a lot to your country, your service, yourself.

It means KNOWING THE JOB.

Professional competence comes first. Without skilled men and women, the Navy cannot carry out its mission. That mission is to defend the nation at the risk of death.

It means COMMITMENT TO DUTY.

To serve for pay is good.
To serve for travel, education, and training is better.
To serve for love of country and comrades is best.

It means COMMITMENT TO LEADERSHIP.

Leadership consists of those qualities of skill and character that command respect and cause others to follow loyally and willingly. It, in turn, requires fairness, a reluctance to ask more than you yourself would give, a sense of justice.

It means HONESTY.

If you wear the Navy uniform, you don't lie; you don't cheat; you don't steal. If you lead others, those in charge are watching you and noting your example. The way you act, officer or enlisted, means "I'm saying that everybody should do this. I'm not making an exception of myself."

It means COURAGE.

You must also have courage, both moral and physical, for it is the virtue on which the exercise of all other virtues depends. You must have the courage to fight. You must have the strength of character to say "no" to what is wrong, to persevere in what is right no matter how difficult the task becomes, and, even to face pain and death in defense of the things you value and love, should honor and duty demand. Yours is not an easy commitment, but a worthy and noble one.

It means LOYALTY.

To let those over you know that they have your support. To show those in your charge you will go to bat for them, never asking them to do something you would not do yourself.
Sometimes loyalties conflict. You must choose. Never mistake loyalty for doing wrong to help someone out, even if he is your superior.

It means OBEDIENCE.

Obedience requires that you carry out the lawful orders of your superiors, as we all pledged to do, with pride and determination.

It means COMMITMENT TO THE BEST. For the Navy, for comrades, for self. We give what we have. We do what we can. We commit the highest in us to the service.

For the Navy, only the best is enough.
Always to excel.
Always to be the best.

The Sailor's Creed

I have chosen to serve in the United States Navy. America depends on my performance for her survival, and I accept the challenge to set my standards high, placing my country's well-being above self-interest.

- I will be loyal to my country, its Constitution and laws, and to my shipmates.
- I will be honest in my personal and professional life and encourage my shipmates to do the same.
- I will, to the best of my ability, do the right thing for its own sake, and I am prepared to face pain or death in defense of my country.
- I will be a professional, wearing my uniform with pride and accepting responsibility for my actions.
- I will set excellence as my standard and always strive for ways to make me a better sailor and my crew a better crew.

Figure 5-2.—The Sailor's Creed.

and insecure, you no doubt use a somewhat autocratic style. Your style is firm, with clear procedures and firm directions. In this situation you must be psychologically strong. When your subordinates are emotionally mature and perform in a creative, self-motivated manner, these tactics are destined for failure.

Of course, you are unlikely to have workers who all fall into one category. Also, situations tend to change from minute to minute. Therefore, you must focus on all three variables all the time. Two of the qualities a leader needs to deal with in this constantly shifting relationship of leader, follower, and situation are flexibility and social sensitivity. Social sensitivity refers to your ability to think and feel what the other person is thinking and feeling. Flexibility is your ability to behave appropriately in dealing with others.

Leaders often overlook the first variable. You must be constantly aware of your own reactions and feelings. Leaders with high sensitivity and flexibility are usually emotionally mature. The more leaders have "worked through" their own biases, prejudices, fears, and anxieties, the more personally aware they are. These personal hang-ups often prevent leaders from being as effective as possible. Personal awareness of how these

AUTHORITY

As a manager you have many responsibilities. To accomplish your mission, you must often delegate specific tasks to subordinates. In addition to delegating the task, you must also delegate the authority necessary to carry it out. Always remember that, although you may delegate a task to a subordinate, you retain responsibility for its accomplishment. Managers have several types of authority.

Legal Authority

The *Uniform Code of Military Justice* (*UCMJ*) sets forth your legal authority. Your orders are backed up by the punitive articles that provide punishment for a subordinate's insubordinate conduct or failure to obey a lawful order. Some *UCMJ* articles provide you with the power to "quell all quarrels, frays, and disorders" among persons subject to the *Uniform Code*. Others give you the power to apprehend anyone (subject to certain prescribed conditions) suspected of having committed an offense against it.

Earned Authority

commands. It stems from leadership qualities that make others obey even if no law requires them to do so. Since America was founded on the principles of individual freedom and individuality, its leaders must be able to inspire cooperation as well as to enforce obedience.

Moral Authority

This is the authority that makes a person step in and take over when an emergency arises and action is required. Good leaders will take action even though the emergency is not technically their responsibility. Moral authority is a matter of individual conscience that cannot be written into law. The assumption of this authority leads some to perform actions "above and beyond the call of duty." It leads others to do their everyday jobs better than they really have to. Authority, then, lies in the law, in the respect of your workers, and in your own ability to lead.

POWER

Power and authority go hand in hand. Effective leaders normally have a high need for power since authority alone is not enough to ensure obedience from subordinates. Power refers to a leader's ability to influence others. Many people have negative feelings about power because they feel that it corrupts. This simply isn't so. Power may be abused; but, properly directed, it is a positive management tool. Power may be gained, lost, and invested much like money in a stock market. The shrewd leader will study the management of personal power as carefully as any other investment.

Gaining Power

You have several sources of power. It may come from your ability or authority to reward (reward power) or punish (coercive power). It may stem from the authority attached to your position (legitimate power), such as division chief or command master chief. It may be awarded to you by others because of your personal charisma or courage (referent power). You may gain power because you have knowledge that may be shared or withheld (control-of-information power). You may also gain power as a result of personal expertise in a technical area (expert power).

As a senior or master chief petty officer, you have considerable access to power. As a technical expert in your field, you possess both expert power and control-of-information power. The billets you fill carry legitimate power, reward power, and coercive power. If you have worked to become a superior leader, you will also have referent power.

Many managers mistakenly hoard their power in a vain effort to avoid losing it. The best way to expand your power, however, is to share it. How do you share power? Power is shared every time you use it to promote the common good. Use the knowledge you have worked to gain to train others. Show that young sailor the best way to get a job done. Use your influence to improve the quality of life for your troops. Giving rewards is preferable to punishment. Coercion is a poor motivator. It works for a while but, in the long run, destroys morale. Delegation is another excellent way to share your power.

Losing Power

Playing influence games may jeopardize your mission or the welfare of your troops and is an excellent way to lose your power. Misuse or abuse of power to gain exceptional privileges will ultimately result in the loss of referent power. Subordinates will not respect a leader who takes the afternoon to play golf while his or her troops are working. Unfortunately they may still emulate the leader's behavior. You give away power every time you play favorites. You also give it away when you ignore certain rules because you are too busy or don't agree with them.

When did you last comment to someone about the unkempt appearance of a sailor's uniform or the sailor's need for a haircut? Did you tell that sailor to square away the uniform or to get a haircut? If you didn't, you gave up a little power. The fact that the person isn't "one of yours" doesn't relieve you of the responsibility for correcting a military deficiency. Failure to render a proper salute (or to return one), wearing an improper uniform, and disrespectful conduct are all acts that many chiefs overlook in the course of a normal day. Every time you do this, you reenforce the idea that this type of conduct is okay. Why? Because "Senior Chief Jones didn't say anything about it when we met this morning."

Every time you fail to exercise your authority or power, you lose a little of it. Overlook an infraction and you lose a little more. Hoard your power and, like an unused muscle, it shrinks.

There is a right way and a wrong way to use power. Use it correctly and your power will increase. Misuse or abuse your power and it will diminish.

DELEGATION

Many managers have great difficulty delegating authority (power). Delegation is not giving away power. Power-motivated managers make their subordinates feel stronger through sharing their power. You retain responsibility when you delegate power; indeed, you cannot give away or delegate responsibility.

When delegating a task, also delegate the authority (power) necessary to carry out a task. Failure to do this negates the purpose of delegation. Withholding power results in less confident subordinates who are afraid to attempt projects for fear of failure.

In today's Navy personnel cuts and reductions in force among officer ranks is commonplace. Many senior and master chiefs now fill billets that were formerly occupied by officers. You may not be commissioned, but the responsibility goes with the position. You cannot "do it all" and still hope to do a good job. Delegation is an essential part of management. Learn to use it and reap the benefits. Your subordinates will learn to act with confidence and a sense of responsibility that can only be learned through experience. Your own job will be much easier, with more time for training future managers.

Managers are often guilty of delegating burdensome tasks that should remain at their level. A manager must know when to delegate and when to do a task personally. Avoid overtasking your subordinates. If a particular job needs your personal attention, it is not a candidate for delegation. Delegation is a tool you should use to manage your time so that you will be able to perform these tasks.

When the need arises—and it does—you must be able to shoot your own dog. Don't farm it out—that doesn't make it nicer, it makes it worse.

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Responsibility and Accountability

Standard Organization and Regulations of the U.S. Navy (*SORN*), OPNAVINST 3120.32B, states the following: "Authority should be delegated to the lowest level of competence commensurate with the subordinate's assigned responsibility and capabilities. The principles of delegation also recognize, however, that officers at all levels must be accountable ultimately for the performance of their organizational segments even if they have charged subordinates with immediate authority for managing certain functions."

Micromanaging

Micromanaging is when you tell your workers how to do a job and then supervise every step rather than allowing their assigned supervisors to run things. Once you have delegated a task, let your subordinate do the job. Be available to give advice and instruction if needed; but unless your assistance is required, stay out of the way. General George S. Patton once said "Never tell people *how* to do things. Tell them *what* to do and they will surprise you with their ingenuity." Micromanaging lessens a subordinate's self-confidence. It also sends a message to others that you do not trust the person to do the job properly. If you really feel this way, don't delegate the task.

Chain of Command

Certainly the chain of command is one of the most important elements of any organization. It ensures that orders are passed properly and that accountability and responsibility are clearly understood. In addition to delegation, chapter 1 of the SORN discusses the principles of unity of command and span of control. Unity of command ensures that a member reports directly to and receives orders from only one individual. One person must have control over one segment of the organization, and that individual is responsible for issuing all orders and receiving all reports from that segment. To ensure all personnel know whom they direct and to whom they report, you must establish clear lines of authority. Span of control refers to the ideal number of people who can be supervised effectively by one person. However, it also recognizes the scope of the assigned functional responsibilities and the time

not less than three nor more than seven individuals.

Giving Orders

You have no doubt heard the term *followership*. Leadership and followership are two sides of the same coin. Virtually everyone from the Commander in Chief to a working party supervisor gives and receives orders. A leader must set the example when following orders as well as when giving them. Giving orders effectively is an art form. You must first ensure the order is necessary. Inappropriate or unnecessary orders produce conflict, confusion, and ill will.

As a midlevel manager, the majority of orders you give originate at a higher level of command. You are simply passing the orders along. How often do you use the following manner to give your workers such orders: "LT Jones says we have to have personnel inspection every morning." This method of giving orders is common but wrong. When YOU give an order, state it as YOUR order. What do I mean by this? Here is an example: "Beginning tomorrow, we will hold personnel inspection every morning." In this manner you build your own authority with subordinates (see "Gaining and Losing Power"). But why does it matter? One day the need may arise for you to take charge in an emergency or during a superior's absence. Passing orders in the proper manner preconditions your workers to respond to your commands. The following story should clarify this point.

DAMN EXEC

by Lieutenant Commander
Stuart D. Landersman,
U.S. Navy
former Executive Officer,
USS STICKELL (DD-888)

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The Norfolk wind was streaking the water of Hampton Roads as Commander Martin K. Speaks, U.S. Navy, Commanding Officer of the USS BOWENS (DD-891), stepped from his car, slammed the door, and straightened his cap. As he approached the pier head a sentry stepped from the sentry hut and saluted.

"Good morning, Captain."

"Good morning, Kowalski," answered Commander Speaks. He took pleasure in the fact that he knew the sailor's name. Kowalski was a good sailor. He had served his entire first cruise in the BOWENS and did his work well.

The Captain noticed that over his blues Kowalski wore a deck force foul weather jacket, faded, frayed, dirty, and spotted with red lead. "Little chilly this morning," said the Captain as he walked by. "Yes sir, sure is," replied the sailor with his usual grin.

As the Captain approached his quarterdeck there was the usual scurrying of people and four gongs sounded. "BOWENS arriving," spoke the loudspeaker system, and Lieutenant (j.g.) Henry Graven, U.S. Naval Reserve, gunnery officer and the day's command duty officer, came running to the quarterdeck. Salutes and cheerful "good mornings" were exchanged, and the Captain continued to his cabin.

Lieutenant Graven looked over the quarterdeck and frowned. "Let's get this brightwork polished chief."

"It's already been done once this morning, sir," replied the OOD.

"Well, better do it again. The Exec will have a fit if he sees it this way," said Graven.

again on the quarterdeck."

Later that morning Captain Speaks was going over some charts with the ship's Executive Officer, Lieutenant Commander Steven A. Lassiter, U.S. Navy. The Captain had just finished his coffee and lighted a cigarette. "Steve, I noticed our pier sentry in an odd outfit this morning. He had a foul weather jacket on over his blues; it looked pretty bad."

"Yes sir. Well, it gets cold out there, and these deck force boys have mighty bad looking jackets," the Exec said.

The Captain felt the Exec had missed his point and said, "Oh, I realize they have to wear a jacket, but for a military watch like that, I'd like to see them wear pea coats when it's cold."

Lieutenant Graven was talking with a third class boatswain's mate on the fantail when the quarterdeck messenger found him. When told that the Executive Officer wanted to see him, Graven ended his discussion with, "There, hear that? He probably wants to see me about that brightwork. I don't care how many men it takes to do it, the Exec told me to be sure to get that brightwork polished every morning."

The Executive Officer indicated a chair to Graven and they both lighted up cigarettes. "How's it going these days?" asked the Exec.

Lassiter had always liked Graven, but in the past few months, since he had taken over as senior watch officer, Graven seemed to have more problems than usual.

"Okay, I guess," Graven replied with a forced grin. He knew things were not as they used to be. It seemed strange, too, because everyone on the ship had been so glad to be rid of the previous senior watch officer, that "damn" Lieutenant Dumphy. The junior officers even had a special little beer bust at the club to celebrate Dumphy's leaving and Graven's "fleeting up" to senior watch officer. Now the Exec was always after him. The junior officers didn't help much either, always complaining about the Exec. Maybe the Exec was taking over as "the heel" now that Dumphy was gone.

"That's good," said the Exec, "here's a little thing that you might look into. These men that stand pier watches have to wear a jacket, but the foul weather jacket doesn't look good for a military watch. I'd like to see them wear their pea coats when it's cold." Graven had expected something like this, more of the Exec's picking on him. He responded properly, got up, and left.

Graven told his First Lieutenant: "The Exec says the pier head sentries can't wear foul weather jackets anymore. If it's cold they can wear pea coats," he added.

"But the pea coats will get dirty and then what about personnel inspections?" asked the First Lieutenant.

"I don't know," Graven shook his head, "but if the Exec wants pea coats, we give him pea coats!"

"Pea coats!" said the chief boatswain's mate, "Who says so?"

"That's what the Exec wants," said the First Lieutenant, "so let's give him pea coats."

"The Exec says pea coats for the pier sentries when it's cold," announced the Chief to his boatswain's mates.

A third class boatswain's mate walked away from the group with a buddy, turned and said, "That Damn Exec, first I got to have all my men polish brightwork on the quarterdeck, now they got to wear pea coats on sentry duty 'stead of foul weather jackets!"

Seaman Kowalski's relief showed up at the sentry booth at 1150. "Roast beef today," constituted the relieving ceremony.

"Good, I like roast beef," was the reply. "Hey, how come the pea coat?"

"Damn Exec's idea," said the relief. "We can't wear foul weather gear no more out here, only pea coats."

"Damn Exec," agreed Kowalski, "Captain didn't say nothin' when he came by."

"The Captain's okay. it's just that Damn Exec. He's the guy who fouls up everything," complained the new sentry.

Seaman Kowalski had just gone aboard the ship when Captain Speaks stepped out on the deck to look over his ship. The quarterdeck awning shielded the Captain from the view of those on the quarterdeck, but he could clearly hear the conversation.

"Roast beef today, Ski."

"Yeah, I know, and we wear pea coats from now on."

"Whaddaya mean, pea coats?"

"Yeah, pea coats on the pier, Damn Exec says no more foul weather jackets."

"Well that ain't all, we got to polish this here brightwork 'til it shines every morning before quarters, Damn Exec says that too."

"Damn Exec."

Captain Speaks was shocked. "Why "Damn Exec" from these seamen?" he thought. It was easy to trace what had happened to the order the Captain gave the Executive Officer that morning. It was easy to see that the Executive Officer had passed it along in proper military manner. It was easy to see that the junior officers, leading petty officers, and lower petty officers were passing it along saying "The Exec wants . . ." That's the way orders are passed along. Why? Because "it is easy."

"All ship's officers assemble in the wardroom," the boatswain's mate announced on the loud speaker system. Lieutenant Commander Lassiter escorted in the Captain. The junior officers took their seats when the Captain was seated. The Executive Officer remained standing. "Gentlemen, the Captain has a few words to say to us today."

The Captain rose and looked around slowly. "Gentlemen, we are continually exposed to words like administration, leadership, management, capabilities, organization, responsibilities, authority, discipline, and cooperation. You use these words every day. You give lectures to your men and use them, but if I were to ask you for a definition of any of these words I would get such a wide variety of answers that an expert couldn't tell what word we were defining. Some we probably couldn't define at all. We still use them, and will continue to use them as they are used in the continually mounting number of articles, instructions, and books we must read.

"If I were to ask any of you how we can improve leadership I would get answers filled with these words—undefined and meaningless.

"If we listed all of the nicely worded theories of leadership, studied them, memorized them, and took a test in them, we wouldn't improve our ability as leaders one bit. I can tell a story, containing none of these meaningless words that will improve your leadership.

"In 1943, I was secondary battery officer in a cruiser in the South Pacific. In my second battle, gun control was hit and I lost communications with everyone except my 5-inch mounts. I could see that the after main battery turret was badly damaged and two enemy destroyers were closing us from astern. At the time, my 5-inch mounts were shooting at airplanes. I ordered

to the two destroyers closing from astern. 'But Mr. Speaks, we're supposed to handle the air targets; who said to shift targets?' my mount captain asked.

"There was noise and smoke and explosions that day, but the explosion that I heard was not from a shell, but from those words of the mount captain.

"Those attacking destroyers got a few shots in at us before we beat them off. Maybe those shots found a target and some of my shipmates died. I never found out. There was too much other damage.

"I thought over the battle afterward and realized that this entire situation was my fault, not my mount captain's. I may have been responsible for the death of some of my shipmates because up to that day I always gave orders to my subordinates by attaching the originator's name to it.

"What does that mean? It means that it was the easy thing to do, to say, 'the gunnery officer wants us to shift targets.'

"In this peacetime world you may say that we no longer have this struggle on a life or death basis. Quick response does not mean life or death right now, but it might tomorrow, or sometime after we've all been transferred elsewhere and this ship is being fought by people we don't know.

"Whether you're cleaning boilers, standing bridge watch or administering your training program, it's easy to say 'the exec wants' or 'Mr. Jones says.' It's the EASY, LAZY way; not the RIGHT way. You can sometimes discuss or even argue with an order, but when you give it to a subordinate, make him think it is coming from you.

"Giving orders the lazy way is like a drug. Once you start saying 'the ops officer wants' you will find yourself doing it more and more until you can't get a thing done any other way. Your men will pass along orders that way, too, and it will become a part of your organization right down to the lowest level. When some problem arises and you want action, you'll get 'who wants this' or 'why should we.'

"Each of you ask yourself if you have given an order today or yesterday in the lazy manner. I think almost all of us have. Now ask yourself if that order really originated with the person who gave it to you, or did they receive it from a higher level? We never really know, do we, but why should we even care?

"In almost every unit the 'lazy' ordering starts on a particular level. From personal experience I can tell you that this can be an exact measure of the unit effectiveness. If it starts at the department head level or higher it's a relatively bad outfit, and if it start's at the chief's level it's a relatively good outfit. You can find the level below which it starts by hearing a new title preceding a primary billet. 'Damn Exec' means that the executive officer is the lowest level giving orders properly. 'Damn division officer' means that the division officers are taking the responsibility for the order.

"Here I am using some of those words, responsibility and authority, those undefined terms we want to avoid, but perhaps we have helped define them.

"To be more specific, every officer does some 'lazy' ordering, but we need to do it less and less. We must try to push the 'damn' title down as far as it will go.

MOTIVATION

> The unfailing formula for production of morale is patriotism, self-respect, discipline, and self-confidence within a military unit, joined with fair treatment and merited appreciation from without. It cannot be produced by pampering or coddling an army, and is not necessarily destroyed by hardship, danger, or even calamity. Though it can survive and develop in adversity that comes as an inescapable incident of service, it will quickly wither and die if soldiers come to believe themselves the victims of indifference or injustice on the part of their government, or of ignorance, personal ambition, or ineptitude on the part of their military leaders.
>
> —General Douglas MacArthur, Annual Report of the Chief of Staff, United States Army, for the fiscal year ending 30 June 1933

Motivation is the primary job of leaders. Motivation means leaders must develop the art of getting individuals or groups to work together to achieve a goal. At the same time, the leaders must also work to achieve their own goals. Good leaders are aware of the personal goals of their crew and use this knowledge to motivate them toward mission accomplishment.

MOTIVATIONAL OBJECTIVES

Aside from mission accomplishment (or productivity), motivation has several other objectives. Other motivational concerns of a leader are retention and advancement. Solid leadership produces an atmosphere of team effort. The camaraderie experienced by members of a successful team contributes to a feeling of job satisfaction. Although other inducements may cause sailors to reenlist, job satisfaction is a major incentive.

Pay increases come only through the medium of advancement. However, recognition and prestige are important motivators that can be employed at any level of supervision or Although medals may not be appropriate in every instance, some form of recognition is better than none at all. Don't hesitate to praise good work. A pat on the back or letter of appreciation costs nothing but can reap huge benefits in morale. High morale and productivity go hand in hand. A worker who feels appreciated will be more likely to continue to perform at a high level than one whose efforts are ignored.

THE WILL TO WORK

Skill and ability are of little use if your workers are not motivated to work. You as a manager are responsible for motivating your people to perform. The best way you can do this is by making sure that they get off on the right foot. Motivation should start as soon as they report aboard.

Start Right

Your efforts to motivate workers should start on day one. When workers check in, show an interest in them. This means you must do much more than assigning a sponsor. You must take an active part in making each person feel like part of the organization. Sure, you have more than enough to do already, but the time spent ensuring that new personnel get a good start will save you a lot of time later correcting problems.

Spend a little thought on such things as sponsor assignments. The person most easily spared from the work force is probably the worst possible choice for sponsor duty. Assign your better personnel as sponsors. Make sponsorship a team effort to reduce individual time away from work. This also lets new arrivals know that more than one person is interested in their welfare.

The same plan applies to training. Give training responsibility to your best personnel. The long-range dividends are well worth the trouble. Provide the best example possible to new personnel.

Provide for Personal Needs

Show concern for your workers' personal welfare. Encourage them to make use of recreational, spiritual, educational, and welfare facilities available to them. Each worker needs to feel valued both as a person and as a member of the armed forces. Confirmation of this personal

Workers are far more effective when morale is high. Morale is an indicator of the state of motivation felt by your personnel. One of the factors in high morale is a sense of mission—knowing where they, as individuals, fit into the overall effort, and feeling good about it. This feeling enhances their willingness to cooperate and "go the extra mile."

Whenever possible, keep your people informed on mission goals and progress. Many workers are far removed from the results of their labor. Arrange for the Intermediate Maintenance Department workers to see how the equipment they maintain is used. The same holds true for galley workers, engine room personnel, and virtually every other rating on board. Make sure they understand that their job is important and contributes measurably to aircraft launches, missile shoots, or whatever your current mission is.

Motivation comes from as many different sources as there are individuals. You must take your workers' personal desires and ambitions into consideration. To do this, you must know your workers. The more imagination you bring to the task of motivating your people, the better your chances of success will be.

Avoid Negative Motivation

You may, at times, resort to fear to motivate your workers. Fear may be activated by such negative incentives as threat of punishment or restriction of personal needs. Negative motivation, however, often destroys morale; and effectiveness will decline as morale declines. Long-term or frequent use of negative motivation, then, is self-defeating. Negative incentives may be used as a last resort, but you should first study the situation carefully to try to avoid them.

Promote Teamwork

Team spirit exists in an atmosphere of positive motivation and high morale. You can do three things to help promote team spirit. First, try to identify with your workers. Know and understand their problems, and try to relate them to your own personal experiences. Second, keep communication lines open. Insist on use of the chain of command wherever appropriate; involve their individual supervisors in their problems, but make sure they understand that you are available. Third, decisions. If group participation is feasible, get their inputs when making changes that will affect them.

Full Employment on Essential Tasks

Full employment means an absence of idle time. Don't work them to death, but keep your people busy. Essential tasks are those that contribute to your mission. Each worker should be used fully on tasks that are essential to the unit. So how do you make people feel that they are employed on essential tasks? Give each worker a full day's work. Barring a problem in attitude or emotions, most workers want to be busy and "grow" with the job. You should provide both opportunities. A full day's work, however, should also be a safe work load. Tasking people beyond their physical or mental limitations only leads to stress and frustration.

Schedule efficiently. This has many implications. If your subordinates must wait for you to "get around" to them, your scheduling is inadequate. Maintain a realistic span of control and use good delegation techniques to keep work moving.

Question the need for every task. You will probably find some jobs are not essential. Other jobs contribute to the mission of the unit, but are not justified in time and effort. Some jobs crowd out more important tasks. An example is the supervisor who requests reports from subordinates, only to throw them away. Likewise some supervisors are "chart keepers" who require graphs and charts that duplicate each other without justifying the effort. If a task cannot be justified, it should be eliminated.

SUMMARY

The leadership process, then, is not a simple matter of a supervisor's being oriented toward people or toward the mission. It is, instead, a combination of critical factors. Superior leaders are proficient in their job and committed to the Navy's mission as well as to the welfare of subordinates. Troops will look to these leaders as an example of honesty, courage, and loyalty. These leaders' people have a clear understanding of their place in the overall mission of their command and the Navy. Top leaders understand the sources and uses of authority and power. They delegate tasks appropriately and avoid micromanaging their subordinates.

Leaders must insist on observance of the chain of command. Failure to follow this most basic rule causes confusion, hard feelings, and low morale. In support of their chain of command, leaders must give orders in a clear, definite manner. They should pass along an order as though it were original, not attach the name of the superior who actually originated the order.

A leader's primary responsibility is the motivation of subordinates. Motivation means instilling the will to work. This starts the moment workers report aboard and continues until they transfer. Each individual is motivated by specific factors. These factors fall into general categories such as personal needs, job satisfaction, and a sense of belonging. One of the best motivators is job satisfaction. Keeping people employed on essential jobs and generating a sense of teamwork help promote this feeling.

A good leader will not hesitate to correct deficiencies, but will observe the adage "praise in public, correct in private." When your workers make an error, show them the same consideration you would like to receive. Public embarrassment may well cause them to quit trying to excel for fear of another failure.

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CHAPTER 6

COMMUNICATION

LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. Identify sources of information concerning communication skills.
2. List effective listening techniques.
3. Identify techniques for improving oral communication.
4. Identify barriers to effective communication.
5. List the rules for effective writing.
6. State the source that establishes the rules and guidelines for preparation of directives.
7. Identify several uses of point papers.

Communication is the key to success for a leader! Are you a good communicator? Would you believe the average American spends approximately 70 percent of his or her time communicating in some form or another; that is, listening, speaking, reading, or writing, generally in that order of importance? You, on the other hand, will probably spend nearly 90 percent of your time communicating.

To assist you in improving your communication skills, this chapter discusses effective listening, effective speaking, and effective writing. You can find additional information on communication skills in the following publications:

Human Behavior, NAVEDTRA 10058-C1

Military Requirements for Senior and Master Chief Petty Officer, NAVEDTRA 10048-A

Career Information Program Management, NAVEDTRA 10238-A

Department of the Navy Correspondence Manual, SECNAVINST 5216.5C

EFFECTIVE LISTENING

Good listening is a matter of desire and concentration. In a broad sense, listening means hearing, comprehending, and remembering. It's actively focusing all your attention on the other person and what's being said. Improving your listening skills can help you in gathering information, counseling others, problem solving, and saving time and energy.

Leaders—real leaders—know how to communicate. Effective communication is a two-way street. A leader's willingness to listen is probably the single most important determinant of the morale of a ship, squadron, or unit.

Active listening isn't as easy as it might sound. We set up barriers that inhibit our understanding of what's being said. For example, we often think about the speaker instead of what's being said. Also we sometimes think ahead of the speaker instead of thinking with him or her.

You can become a better listener by practicing the following techniques:

- Have the right attitude. Want to listen. Discipline yourself. Try to approach every

- Act like a good listener. Make eye contact. Check your body language.

- Take responsibility for comprehending. Try to understand what's being said.

- Listen to understand rather than to refute. Try to understand first and evaluate second.

- Control your emotions. Don't permit emotional blocks to get in the way of understanding what's being said.

- Stop talking. If you interrupt less, you will hear more. But do make comments, ask questions, and give encouragement when it's appropriate.

- Listen analytically. Listen to what's being said and how it's being said. Get the speaker's point of view.

Good listening takes discipline and effort on your part. It's a skill requiring both motivation and practice—but the end result is worth the effort. Part of caring for and taking care of your people is really listening to them.

EFFECTIVE SPEAKING

Effective oral communication is vitally important in your everyday activities. You might be required to fill in for the division officer one minute and brief a new command member the next. One of your most important tasks is to communicate Navy and command policies to your subordinates. Just stating policies is not enough; you must ensure the crew understands these policies.

LOST/DISTORTED INFORMATION

Information is often lost or distorted between the top and the bottom of the chain of command. Some elements affecting the loss or distortion of information are the message being sent, the sender's filters, and the receiver's filters.

Message Being Sent

The more complex or lengthy the message is, the greater the chance of loss or distortion. Keep the message as brief and clear as possible.

Sender's Filters

Everything you say is affected by filters. These filters are the way you interpret and express information. They are based on your own personal experience and lifestyle. They are caused by your attitude, age, knowledge of the subject, social and cultural background, personality, and education.

Receiver's Filters

Attitude, age, knowledge of subject matter, social and cultural background, personality, and education all affect the receiver's filters, just as they do yours. Keep in mind your filters and the receiver's filters are not the same.

ELEMENTS OF TRANSMITTING INFORMATION

Understanding the elements affecting the transmitting of information will help you develop and improve your speaking skills. Practicing these skills will reduce the amount of distorted and misunderstood information. Your attitude, the topic interest, and your presentation are key factors affecting the transmission of information.

Attitude

Your crew will probably take the same attitude you have toward a subject. You must show enthusiasm and interest even when the subject is dull. This takes work. If the members of your audience get the impression that you are not really interested, then you can bet they're not going to be interested either.

Topic Interest

This is an area where you must really work. Understand, the crew may not realize the information is of interest or importance. You need to sell them on its importance. Here again, your attitude plays a big part.

Presentation

No matter how important the information is, if the presentation is uninteresting, unprofessional, confusing, or boring, the crew's attention will wander. When this happens, you can be sure that some information will be lost. Here are a few

helpful hints that will make public speaking a little easier and more effective:

- Voice Level—Adapt your voice level to the surrounding area. Keep your voice level high enough so that those farthest away from you can hear.
- Enunciation—Be aware of how you pronounce your words, how rapidly you speak, and how quietly you speak. Practicing with a tape recorder will help improve your delivery.
- Rate of Speech—You should vary your rate of speech depending upon the type of information you are talking about. Delivery of technical information requires a slower rate of speech than delivery of other types of information.
- Inflection—No one gets much from someone who speaks in a monotone. If you vary your pitch, your speech will be easier to listen to and will hold your audience's attention. Use your whole body when speaking. Your eyes, your facial expressions, and your body movements all contribute to your effectiveness as a speaker. Body language is as important in public speaking as it is in person-to-person communication. The eyes tell a lot; they are the principal receivers of nonverbal communication. They give meaning to everything you say. Eye contact is very important when talking and listening to someone. If you use too little eye contact, you convey a lack of interest. If you use too much eye contact, the listener may feel threatened. People often hide their feelings by avoiding eye contact during conversation. Use of proper eye contact, facial expressions, and body language will improve both your interpersonal communication and public speaking effectiveness.

WRITTEN COMMUNICATION

Writing is easy! You just sit down with pen and paper, open up a vein, and begin. Well, it's not that difficult, but effective writing does take practice.

—AVCM H.T. "Red" Brumbley

You will often be called upon to initiate written communication. Almost daily you will become involved in writing memorandums, point papers, messages, instructions, and other forms of written communication. You must be able to write clearly and use good grammar. One of the most valuable publications to use in drafting all types of official correspondence is the *Navy Correspondence Manual*, SECNAVINST 5216.5C. *Better Naval Writing*, OPNAV 09B-P1-84, is a workbook for chapter 1 of the *Navy Correspondence Manual*. The following rules should help you develop a more "natural" style and improve your writing skills:

- Speak on paper. Make your writing as formal or informal as the situation requires, but do so with language you might use in speaking. Because readers hear writing, the most readable writing sounds like people talking to people. Begin by imagining your reader is sitting across from your desk. Then write with personal pronouns, everyday words, and short sentences—the best of speaking.
- Use personal pronouns. Though you need not go out of your way to use personal pronouns, you should not go out of your way to avoid them. Avoiding natural references to people is false modesty. Speak of your activity, command, or office as we, us, or our. These words are no more exact or inexact than the vague it. Use you, stated or implied, to refer to the reader. Use I, me, and my less often, especially in correspondence signed by the commanding officer, and then only to show special concern or warmth.
- Rely on everyday words. The complexity of our work and the need for precision occasionally requires big words. But don't use big words when little ones will do. For example, deflate utilize to use, commence to start, and promulgate to issue. Prefer short, spoken transitions over long, bookish ones. Use but more than however and still more than nevertheless. Write to express, not to impress.
- Use some contractions. Contractions link

can't, won't). They are appropriate in less formal writing situations. Day-to-day naval writing should be informal enough for contractions to fit naturally. If you are comfortable with contractions, your writing is likely to read easily, for you will be speaking on paper. If contractions seem out of place, you may need to deflate the rest of what you say.

- Keep sentences short. For variety mix long sentences and short ones, but average 20 words or less. Though short sentences won't guarantee clarity, they are usually less confusing than long ones. Try the eye test: average under two typed lines. Or try the ear test: break up the sentences you can't finish in one breath.

- Ask questions. A request gains emphasis when it ends with a question mark. Do you hear how "spoken" a question is? Whether written or spoken, a question involves the audience. People have a natural tendency to form an answer to a question.

- Be concrete. Without generalizations and abstractions, lots of them, we would drown in detail. We sum up vast amounts of experience when we speak of dedication, programs, hardware, and lines of authority. But lazy writing overuses such vague terms. It often weakens them further by substituting adjectives for examples: immense dedication, enhanced programs, viable hardware, and responsive lines of authority. Don't use a general word if the context allows for a specific one; be as definite as the situation permits. Work to avoid vague, high-sounding language in job descriptions and personnel evaluations.

- Listen to your tone. Tone reflects a writer's attitude toward the subject or readers. It causes few problems in routine letters. You must pay special attention to tone, however, when the matter is delicate. The more sensitive the reader or issue, the more careful you must be to promote good will. Tactlessness in writing suggests clumsiness

misused word can make an enemy. To avoid tactlessness, use positive language.

WRITING DIRECTIVES AND INSTRUCTIONS

The *Department of the Navy Directives Issuance System*, SECNAVINST 5215.1C, establishes the rules and guidelines to use when you prepare a directive. Your duties may require you to write or revise instructions and notices. This manual will provide you with all the necessary information to perform these important tasks. The establishment of these guidelines ensures uniformity of format regardless of the type or location of your command.

WRITING POINT PAPERS

The point paper is one of the most useful ways of communicating our ideas to others. It is useful to bring to the attention of the command and superiors the presence of problems, the formulation of new ideas, and methods of improvement. Since an effective point paper covers only one item, it must be concise and come to the point right away. Usually point papers are used to communicate problems and propose solutions to the chain of command.

Chapter 11 of the *Military Requirements for Senior and Master Chief Petty Officer*, NAVEDTRA 10048-A, provides point paper and talking paper formats for presentation in meetings and briefings. The originator of the paper usually gives these presentations. The point paper format in figure 6-1 is designed to be forwarded up the chain of command on an "unaccompanied" basis, so it must stand on its own merits.

WRITING MEMOS

During your career, you will write thousands of memos. Remember that the purpose of these memos is to pass information or instructions to your command members. The important thing to remember is to keep them short and simple. Get your point across without confusing the reader.

PLAN OF THE DAY NOTES

The Plan of the Day (POD) is the simplest and most commonly used method of information

SAMPLE POINT PAPER

TITLE OR SUBJECT

PURPOSE	A brief (one- or two-sentence) statement of the concept, idea, or purpose of the paper. If it is in response to a question, quote or paraphrase the question and include the answer.
BACKGROUND	Brief description of issue, topic, or program and generating factors. Salient factual information. Ensure clear understanding. Avoid lengthy discussion.
STATUS or DISCUSSION	Concise, factual statement of current status. Relation to established guidelines, goals, steps, predictions; recent or proposed developments, trends, progress, changes, plans, forecasts. State Navy position, if applicable. State anticipated or desired resolution. Indicate Congressional or intraservice interest and interservice liaison, as appropriate.
PROBLEMS	Specific, concise listing of impact of unresolved problems, critical decision dates, contingent requirements. State Navy position when different. State specific corrective actions in progress or contemplated.
OTHER PARAGRAPHS TITLED AS REQUIRED	To avoid "clutter," use minimum additional paragraph headings necessary for clarity. Every attempt should be made to include all pertinent information within standard paragraphs above. Basic paper should be limited to one page. Put detailed discussion or rationale in tabs, not in basic paper.
FUNDING	Include, if pertinent.
CONCLUSION/ RECOMMENDATION	Conclusion and recommendation must be succinct and specific. Avoid broad, general, nonspecific recommendations or requests for action.

Figure 6-1.—Sample point paper.

dissemination within a command. Use it! Refer to chapter 4 of the *Career Information Program Management*, NAVEDTRA 10238-A, for more information on the formatting and writing of Plan of the Day notes.

The Plan of the Day notice is, when correctly used, one of the best means you have of reaching the entire crew; its importance to your information dissemination program can't be overemphasized.

SUMMARY

Three important dimensions of communi-

function properly. These are upward communication, downward communication, and horizontal communication. Clear communication through listening, speaking, and writing is an invaluable asset in dealing with both superiors and subordinates.

We have discussed good listening habits, effective speaking, and effective writing. By practicing these skills, you will experience an improvement in communication throughout your command.

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CHAPTER 7

PROGRAMS AND POLICIES

LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. Recognize the basic elements of primary Navy programs and policies.
2. State the factors used to determine the existence of fraternization.
3. State the definition of sexual harassment.
4. Identify the laws governing assignment of women in the Navy.

As a leader, your two major concerns are the mission and your troops. If you take care of your troops, the mission objectives will be easier to attain. To do this, you must have a good working knowledge of the Navy's people programs and helping resources. You won't have time to stay current on every detail of every program; but you can, and should, know what a program does and where to find more information about it. In this section we will review some of the major "people" programs and policies.

EQUAL OPPORTUNITY

The Department of the Navy policy is to provide equal treatment and equal opportunity to all Navy members, without regard to race, color, religion, gender, age, or national origin.

Command Managed Equal Opportunity (CMEO) is a program designed to assist commands in supporting the Navy's equal opportunity (EO) policy. It is a management system that is responsive to higher echelons but controlled primarily at the command level. The program has four basic elements:

- Command Training Team (CTT): The CTT is responsible for conducting the Navy EO principles and policies, sexual harassment prevention, and command-specific issues.

- Command Assessment Team (CAT): The CAT is responsible for conducting the annual command assessment. This survey focuses on EO management practices and can also bring out problems or issues that are not directly related to EO, but impact on the quality of life within the command. To aid the command assessment, the CAT collects data on retention, advancement, and discipline. More data is obtained from interviews, observations, and surveys.

- Action Planning: A plan of actions and milestones (POA&M) is created to implement and track the correction of existing or potential problems.

- Inspections: Immediate superiors in command (ISIC) conduct CMEO inspections of subordinate commands.

Another important program used to promote EO is the Navy Affirmative Action Program (NAAP). The NAAP is designed as a continuing program of goals and actions with realistic milestones. Affirmative action is the taking of positive steps to correct or eliminate discrim-

Constant monitoring is necessary to ensure continuing progress. The NAAP is revised as needed after each annual equal opportunity assessment.

The concept of equal opportunity is an essential element of Navy goals, values, principles of leadership, and responsibility. It must exist at every level of the chain of command. It improves the quality of life for all Navy personnel, increases combat readiness, and contributes to mission accomplishment. To be an effective senior petty officer, you should set an example of basic leadership and set an outstanding personal example to motivate your subordinates to practice pride, professionalism, and personal excellence.

FRATERNIZATION

The Navy has historically relied upon custom and tradition to define the bounds of acceptable personal relationships among its members. Proper social interaction among officer and enlisted members has always been encouraged, as it enhances unit morale and esprit de corps. At the same time, unduly familiar personal relationships between officers and enlisted members have traditionally been contrary to naval custom. Such relationships undermine the respect for authority that is essential to the Navy's ability to accomplish its military mission.

Over 200 years of seagoing experience has demonstrated that seniors must maintain thoroughly professional relationships with juniors at all times. This custom prevents personnel from using a senior grade or position to show (or give the impression of showing) favoritism or preferential treatment or for personal gain. It also helps prevent officers from becoming involved in other actions that undermine good order, discipline, authority, or unit morale. In a like manner, custom requires that junior personnel recognize and respect the authority inherent in a senior's grade, rank, or position.

Fraternization is the traditional term used to identify personal relationships that cross the customary bounds of acceptable senior-subordinate relationships. Although it has most commonly been applied to the officer-enlisted relationship, fraternization also includes improper relationships between officer members and between enlisted personnel.

By definition, fraternization is any personal relationship between an officer and an enlisted member that is unduly familiar and does not respect differences in rank and grade. It also includes personal relationships between officers or between enlisted personnel in which a senior-subordinate supervisory relationship exists.

Fraternization is punishable as an offense under the *Uniform Code of Military Justice* when it is prejudicial to good order and discipline or brings discredit to the naval service. We cannot name every act that may be prejudicial to good order and discipline or is service discrediting; the surrounding circumstances often have more to do with making the act criminal than the act itself. However, dating, cohabitation, or sexual intimacy between officer and enlisted members is clearly inappropriate. A private business partnership between officers and enlisted persons is also inappropriate. Likewise, such conduct between officers and between enlisted members in which a senior-subordinate supervisory relationship exists is equally inappropriate. Conduct that constitutes fraternization is not excused by a subsequent marriage between the offending parties.

The responsibility for preventing inappropriate relationships rests primarily on the senior. The senior party is expected to control and preclude the development of inappropriate senior-subordinate relationships. However, since the Navy's fraternization policy applies to both members, both are accountable for their own conduct.

SEXUAL HARASSMENT

Sexual harassment is not an amusing or trivial issue. It has a negative effect on the morale and productivity of service members as well as team building and mission accomplishment. It may also be a violation of a number of articles of the *Uniform Code of Military Justice*.

Sexual harassment is defined as (1) influencing; offering to influence; or threatening the career, pay, or job of another person in exchange for sexual favors; or (2) deliberate or repeated offensive comments, gestures, or physical contact of a sexual nature in a work or work-related environment. Sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment under the following circumstances:

1. When submission to such conduct is made either explicitly or implicitly a term or condition of a person's job, pay, or career

conduct by a person is used as a basis for career or employment decisions affecting this person

3. When such conduct has the purpose or effect of interfering with a person's performance or creating an intimidating, hostile, or offensive environment

Personnel, male or female, who use implicit or explicit sexual behavior to control, influence, or affect the career, promotion opportunities, duty assignments, or pay of any other Navy member are also engaging in sexual harassment. Sexual harassment is, therefore, the embarrassment, intimidation, or exploitation of one person by another through sex-related comments or behavior.

Sexual harassment is a form of sexual discrimination. It stems from one person's attempt to exert power over another individual's private self. However, many people are unaware of the negative impact of sexual harassment.

No one wants his or her desirability, physical attributes, or ability to perform sexually to become a topic of public discussion or ridicule. In a work environment, we display our public selves: our rank, experience, and technical competence. Our sexuality (private self) is not meant for public display or public discussion. Sexual harassment is inappropriate behavior. It is distracting and offensive because it shifts the focus from our public self to our private self. It makes public those things we would rather keep private and personal. This is not an issue of "consenting adults"; it is an issue of exploitation through abuse of power. The Navy is concerned whenever power conferred through rank, authority, or position is abused. When behavior affects the mission, whether it occurs on or off duty, it is a Navy issue. That makes it your business.

Even the most professional relationships between men and women are seldom without mutual awareness of sexuality. What makes the relationship professional is a sense of time, place, and appropriateness. In a working environment, any focus on sexuality destroys professional relationships.

The Navy's long tradition of military professionalism results from its positive, aggressive leadership and its history of taking care of all Navy members. Everyone in the chain of command, from commanding officer to deck seaman, is responsible for providing an environment free from sexual harassment.

personnel to support its policy of sexual harassment prevention. Support not only means you should refrain from practicing sexual harassment yourself, but that you should stop such behavior by others and report it promptly.

SEXUAL RESPONSIBILITY

The Navy does not require its personnel to abstain totally from sexual relations. However, it does strive to instruct all Navy members on the importance of sexual responsibility and the dangers of sexually transmitted diseases (STDs).

Syphilis, gonorrhea, genital herpes, and acquired immune deficiency syndrome (AIDS) are all sexually transmitted diseases. They are normally spread through sexual contact. AIDS can also be spread through transfusions of contaminated blood or shared hypodermic needles. Sexually transmitted diseases are not spread through contact with inanimate objects such as toilet seats, door knobs, or eating utensils.

The most serious of these diseases is AIDS. The AIDS virus attacks the body's immune system. This results in the body's inability to fight infection.

Military persons must receive live virus vaccines to protect them from certain illnesses and from possible exposure to serious infections when deployed outside the U.S. These vaccines may be life-threatening to an infected person whose immune system has been damaged by AIDS.

At the present time no cure is known for AIDS. More than 70 percent of all AIDS cases prove fatal within 2 years of diagnosis.

As a Navy leader, you should be aware of these sexually transmitted diseases and the methods for reducing the risks of acquiring them. The only way people can be sure not to acquire these diseases is to abstain from all forms of sexual contact. To reduce the risks of acquiring sexually transmitted diseases, those who are sexually active should take the following precautions:

1. Avoid multiple partners, anonymous partners, prostitutes, and other persons with multiple sex partners.
2. Avoid sexual contact with persons who have a genital discharge, genital warts, genital herpes lesions, or other suspicious genital lesions.
3. Avoid oral or anal sex.
4. Avoid genital contact with cold sores.

5. Use condoms and diaphragms in combination with a spermicide.
6. Have a periodic examination for sexually transmitted diseases.

SINGLE PARENTING

The demands of the Navy lifestyle make single parenthood rough. But by taking full advantage of the resources available, single parents can make their lives, and their children's lives, more rewarding and less stressful.

Navy single parents have more help available to them than ever before because of Family Service Center programs and expanding child care options. Family Service Centers provide information, referral, educational, and other counseling services designed to assist single parents and their children.

Child care is always a big concern—and often a big headache—for single parents. The capacity of Navy-operated child care facilities is not always sufficient for the number of children eligible to use them.

The Family Home Care (FHC) program allows spouses of Navy members to care for children of Navy personnel in their government quarters. FHC serves over 30 commands stateside and overseas. Those who wish to open their homes for day care must complete training that includes cardiopulmonary resuscitation (CPR) instruction. Child care providers involved in the FHC program must purchase insurance, which is available through NMPC at a nominal fee. A professional monitor ensures that the child care offered is of the highest quality by providing training, screening and background checks, and monthly visits to FHC homes.

The Navy requires all single parents to include in their service record a Dependent Care Plan and Navy Dependent Care Certificate, OPNAV 1740/1, that provides a plan for dependent care arrangements. The plan must include details such as who will provide care for the children during the parent's normal duty hours, temporary additional duty (TAD) assignments, and deployments, as well as other pertinent information. The parent must also provide a will with guardianship provisions and a power of attorney authorizing medical care. The *Military Personnel Manual* (*MILPERSMAN*), article 3810190, outlines the dependent care policy and specifies the information parents must include on the certificate.

Some people worry that their status as single parents may hurt their Navy career, but this is simply not true. As long as parents keep an up-to-date dependent care certificate in their record, they have no limits on what they can achieve.

Single parenting in the Navy isn't easy, but an understanding of Navy policy can help a single parent's career run more smoothly. Single parents should realize the Navy expects them to accept full responsibility for the care of their children as well as their job requirements.

WOMEN'S MISSION IN THE NAVY

Department of the Navy policy dictates that all women members will be assigned to billets commensurate with their capabilities to the maximum extent practicable.

Women may be permanently assigned to duty in hospital ships, oilers, ammunition ships, refrigerated stores ships, transports, training ships, and vessels of similar classification not expected to be assigned a combat mission. In addition, they may be assigned to combat-type ships or squadrons for up to 180 days provided the unit is not expected to perform combat missions for that period.

The Chief of Naval Operations (CNO) and the Commandant of the Marine Corps have the authority to preclude women from assignment to a noncombatant unit. They may exert this authority any time they deem risks of hostile fire or combat are equal to or greater than reasonably anticipated risks for units to which women are normally attached.

Title 10, U.S. Code, section 6015; SECNAVINST 1300.12A; and MILPERSMAN article 1820100 contain the laws and instructions governing the assignment of women.

HEALTH AND PHYSICAL READINESS

People in the Navy and people in the civilian community share common problems when it comes to desk jobs, eating too much, and not enough exercise. Excessive body fat is a serious detriment to health, longevity, stamina, and military appearance. We need to maintain a high state of health and physical readiness. If we do this, combat readiness, personal effectiveness, and high morale should follow.

Health and physical readiness have become a matter of concern to the Navy. Every Navy person

should strive to achieve and maintain a high standard of physical readiness. Members who fail to achieve high standards hurt their units and the effectiveness of the Navy. Physical readiness training is a complete conditioning program. It includes weight control and nutrition, high blood pressure identification and control, stress management, smoking cessation, and back injury prevention.

As a leader, you should stress the importance of physical readiness training to your personnel on a daily basis, not just twice a year.

FINANCIAL RESPONSIBILITY

As senior Navy leaders, you are expected to set the example for your troops. This example extends into your personal life as well as your professional conduct. Setting the standard in matters of personal financial responsibility is particularly important. Your immediate response may be "My private affairs are none of the Navy's business!" However, this is only partially true. The policy of the Department of the Navy is "to promote habits of thrift and encourage . . . conduct of financial affairs in such a manner as to reflect credit upon the naval service."

Your commanding officer does not have the authority to act as an agent or collector for your creditors. The enforcement of the private obligations of the service member is a matter for the civil authorities. Many commands provide financial counselors to advise sailors in financial difficulties. This service is usually provided through Family Service Centers. Other counselling is available from your legal assistance officer.

Thrift is not only a virtue but, for most people, a necessity. The way in which people handle their private financial affairs provides a reliable indication of their general character and trustworthiness. Section 62 of the *Navy Military Personnel Manual* offers some good financial advice to all paygrades:

- Before acceptance of any credit plan, evaluate your ability to pay for it. Establish a budget that will let you meet your responsibilities, and ask yourself if you can live with this arrangement.
- Beware of high-pressure sales tactics. Never sign a blank contract. If you have doubts about any part of a contract, ask for advice from a legal assistance officer BEFORE you sign it.
- Pay cash whenever you can.
- Always demand a statement of full disclosure before signing for credit or a loan.

WHAT IF I AM ALREADY IN FINANCIAL TROUBLE?

If you are already in financial trouble, seek advice from the legal assistance office or a financial counsellor. Either one may help you contact your creditors to see if they will allow a longer payback period or a credit extension.

WHAT ABOUT BANKRUPTCY?

Bankruptcy is not an easy way out of indebtedness. The Navy neither encourages nor discourages the filing of a petition for bankruptcy. The circumstances prompting bankruptcy proceedings are considered officially by the military chain of command when writing performance evaluations since they may reflect adversely on the military character of the petitioner. Granting of a bankruptcy petition does not excuse a person from prosecution under the UCMJ for offenses of dishonorable failure to pay just debts committed before a petition of bankruptcy.

So remember, get smart financially: pay cash, get counselling, and avoid excessive debt. If you get in trouble, get help immediately. Don't wait until bankruptcy is the only way out.

DRUGS AND ALCOHOL

The Alcohol and Drug Abuse Prevention and Control Program begins at recruit training and continues throughout your naval career. The program stresses prevention and control of alcohol and drug abuse through educational programs for both enlisted and officer personnel. The program also provides training for Drug and Alcohol Program Advisors (DAPAs). The Navy's urinalysis program provides a method for detecting a member who has a substance abuse problem. Detailed information about the Navy's drug and alcohol program can be found in *Alcohol and Drug Abuse Prevention and Control,* OPNAVINST 5350.4A.

EDUCATIONAL PROGRAMS

Educational benefits are available to nearly everyone in the Navy in some form. Whether a

sailor is trying to get a GED or a Ph D, the Navy offers a program to suit the situation. Navy schools, trade schools, and officer accession programs such as the Navy Associate Degree Program (SOCNAV) all offer sailors the opportunity to better themselves.

Keeping track of all of the various educational programs is a full-time job. Educational services officers (ESOs) and career counselors are excellent resources for information on these programs. The new *Educational Services Officer* training manual (NAVEDTRA 10460-A) and nonresident training course (NAVEDTRA 80460-A) were released in 1989. This course provides excellent coverage of the Educational Services Office and the programs available to you and your troops.

RETENTION

As a chief petty officer, you must be a positive career motivator. You need to work closely with division/department career counselors and command retention team members to ensure your subordinates receive the information they need to make career decisions.

FAMILY SERVICE CENTERS (FSC'S)

Family Service Centers (FSCs) are another way the Navy takes care of its own. These centers provide numerous services to aid you and your troops. The following services are commonly offered by Family Service Centers:

- family, marriage, personal, and child counseling
- pre/during/post deployment programs
- employment assistance for spouses
- financial counseling
- family education programs
- legal referral
- relocation assistance
- health care services
- assistance with ombudsman and sponsor programs

ADVANCEMENT AND TRAINING PROGRAMS

The objective of the Navy enlisted advancement system is to provide the Navy's best qualified petty officers to man its ships and stations. The advancement system allows only the best qualified enlisted personnel to advance to higher levels of responsibility.

The Navy enlisted advancement system is governed by the *Manual of Advancement*, BUPERSINST 1430.16C. In addition to this basic reference, a NAVOP is issued before each advancement cycle. This NAVOP announces the schedule of the examinations and provides other pertinent information.

You will be called upon to advise and counsel your troops on advancement. If you aren't absolutely sure of an answer, LOOK IT UP! Some of the references you should be familiar with are the *Manual of Advancement*, BUPERSNOTE 1430.16C; *Rating Entry for General Apprentices* (*REGA*), OPNAVINST 1430.5C; and *Manual of Navy Enlisted Manpower and Personnel Classifications and Occupational Standards*, NAVPERS 18068E. Don't be afraid to ask for help if you can't find an answer; advancement is just as important to your troops as it is to you.

NAVY LEADERSHIP DEVELOPMENT PROGRAM (NLDP)

Through research, the Navy has identified various leadership skills to distinguish the differences between superior performers and average performers as Navy leaders. These skills, or characteristics, are sometimes referred to as competencies.

The Navy offers a variety of 1-week NLDP courses designed to train students to apply these specific leadership skills in various job situations. The NLDP courses are available to E-5 through 0-6 personnel. All E-6 and E-7 personnel are required to complete an NLDP course to be eligible for advancement to E-7 and E-8.

SUMMARY

These are only some of the programs and policies available to you, the military manager, to help you make decisions and provide counseling to your subordinates. Familiarize yourself with

these programs. If you don't know the answer, go find it. Don't fall for the temptation of "as I remember it . . . ." Make sure you pass on the straight scoop to your troops. If you run into a situation concerning one of your workers, at least know where to get help. The fact that you came through for one of the troops will pay big dividends in the long run.

REFERENCES

Department of the Navy Policy on Sexual Harassment, SECNAVINST 5300.26, Department of the Navy, Washington, D.C., 1980.

Alcohol and Drug Abuse Prevention and Control, SECNAVINST 5300.28A, Department of the Navy, Washington, D.C., 1984.

Family Service Center Program, OPNAVINST 1754.1A, Chief of Naval Operations, Washington, D.C., 1985.

Alcohol and Drug Abuse Prevention and Control, OPNAVINST 5350.4A, Chief of Naval Operations, Washington, D.C., 1987.

Navy Policy on Sexual Harassment, OPNAVINST 5350.5, Chief of Naval Operations, Washington, D.C., 1982.

U.S. Navy Affirmative Action Plan, OPNAVINST 5354.3A, Chief of Naval Operations, Washington, D.C., 1985.

Navy Equal Opportunity (EO) Manual, OPNAVINST 5354.1C, Chief of Naval Operations, Washington, D.C., 1989.

Navy Fraternization Policy, NAVOP 011/89, OPNAVINST 5370.2, Chief of Naval Operations, Washington, D.C., 1989.

Sexually Transmitted Disease (STD) Clinical Management Guidelines, NAVMEDCOMINST 6222.1, Bureau of Medicine and Surgery, Washington, D.C., 1987.

APPENDIX I

MISSION ORGANIZATIONAL PLAN

Appendix I is included as an example of a mission organizational plan and objectives. This plan is an excerpt from the *Navy Counselors Handbook*, NAVEDTRA 10238-A. We provide it ONLY as an example of a mission organizational plan and objectives and do not guarantee currency or technical accuracy of its contents.

THE RETENTION TEAM AND CAREER INFORMATION PROGRAM MANAGEMENT (CIPM)

A. OBJECTIVES OF THE NAVY RETENTION PROGRAM

1. Obtain personnel stability through the retention of top quality personnel in proper balance and required numbers.
2. Provide a means that will successfully fulfill the Navy's obligation to keep its personnel and families properly informed.
3. Provide continuing career guidance so that individuals might best develop and use their talents while in the Navy.
4. Provide a means of increasing good will and respect for the Navy by each member leaving the service, thereby returning an "ambassador" for the Navy to the civilian community.
5. Provide a method by which members being separated will be influenced to actively participate in the Naval Reserve.

B. RETENTION TEAM ORGANIZATION

1. The retention team consists of the following:
   a. Commanding officer
   b. Executive officer
   c. Command career counselor/retention program manager
   d. Command master chief
   e. Department heads
   f. Departmental career counselors
   g. Division officers
   h. Divisional career counselors
   i. Leading chiefs and leading petty officers

C. RESPONSIBILITIES OF THE RETENTION TEAM

1. COMMANDING OFFICER
   a. Pursue an effective retention program.
   b. Actively involve every level of the command.
   c. Ensure proficiency and motivation of the team.
   d. Ensure only qualified personnel are recommended for reenlistment.
   e. Ensure appropriate attention is given to ceremonies/special occasions.

2. EXECUTIVE OFFICER

a. Monitor the degree of involvement, motivation, and attitude of retention team members.

b. Schedule monthly meetings of the command retention team.

c. Ensure proper training of retention team members.

d. Provide facilities for retention team members.

e. Ensure communication access is available for command career counselor.

f. Coordinate and monitor the efforts of the team.

g. Ensure commanding officer's policies are maintained.

h. Ensure timely flow of administrative items.

3. COMMAND CAREER COUNSELOR/RETENTION PROGRAM MANAGER

a. Organize and manage an effective retention program using CIPM.

b. Train and support the command retention team.

c. Inform commanding officer of retention team activities.

d. Inform commanding officer of situations that have an impact (positive or negative) on retention.

e. Maintain retention stats.

f. Inform retention team members of policy changes that may affect attitudes.

g. Coordinate group interviews.

h. Maintain a tickler for counseling interviews.

i. Ensure all interviews are conducted in a timely fashion.

j. Maintain liaison with wives clubs and Ombudsman.

k. Support the recruiting effort through the promotion of Pro-Navy Referral Program and HARP duty.

4. COMMAND MASTER CHIEF

a. Require senior petty officers to take an active interest in promoting career information awareness.

b. Work closely with the command career counselor to support the retention team.

c. Be knowledgeable of retention programs and policies and participate in the attainment of retention objectives.

d. Keep the command career counselor informed of any matters or policies that may affect retention.

5. DEPARTMENT HEAD/DIVISION OFFICERS

a. Coordinate the retention program as it pertains to their personnel.

b. Be actively involved in retention efforts.

c. Ensure all individuals of the dept/div are interviewed and counseled.

d. Conduct an effective advancement training program.

e. Ensure attendance of dept/div counselors at retention team meetings/training.

6. DEPARTMENTAL CAREER COUNSELORS

a. Advise department head and divisional career counselors of regulations and policies affecting retention.

b. Monitor divisional career counselor activities.

c. Ensure required interviews are conducted.

d. Advise department head/command career counselor of department retention activities.

e. Hold department retention team training.

f. Assist department head/division officer in screening of divisional

7. DIVISIONAL CAREER COUNSELORS

a. Inform the division officer and departmental career counselor of division retention activities.

b. Hold pertinent interviews as directed by departmental career counselor/command career counselor.

D. CAREER INFORMATION PROGRAM MANAGEMENT (CIPM)

1. PURPOSE—Designed specifically to bring all the command's resources into operation to support the local retention program while making full use of the chain of command.

2. BASIC CONCEPTS

a. The command career counselor functions as both a retention program manager and career counselor.

b. 30:1 counseling ratio—1 trained retention team member for every 30 personnel.

c. 70%/30% counseling balance.

(1) 70% of all questions could and should be dealt with by a trained divisional/work center career counselor or supervisor.

(2) The remaining 30% would be the more difficult or technical problems that require the assistance of the command career counselor.

(3) Decentralizing the retention team involves training the team members and then passing 70% of the counseling activities to them.

d. Results of decentralization.

(1) Increased credibility and respect for the entire chain of command.

(2) Progressive increase of the counseling abilities of supervisors.

(3) Frees the command career counselor for the job of managing the retention team.

(4) A decrease in lost manhours.

(5) Personnel at all levels of the command would be better informed about Navy benefits, programs, and policies.

(6) Supervisors would be better informed about the needs and desires of their personnel.

e. Proper use of support programs to strengthen the chain-of-command and promote communication.

(1) Internal programs

(a) Sponsor Program

(b) Command Indoctrination

(c) Professional Development Board

(2) External programs

(a) Personnel Support Detachments

(b) Family Service Centers

3. CIPM SUMMARY—A successful career information program is dependent upon three major factors:

a. Executive management and policy guidance

b. Chain of command

c. Command support systems

E. CAREER COUNSELING INTERVIEW RECORDS

1. The command career counselor is responsible for maintaining records of all interviews conducted with each enlisted member of the command. The Career Counselor Record (NAVPERS 1160/11) can be used to record interview data. Regardless of the system used, comments desired in the interview record should reflect the subjects discussed and a short resume of the counseling provided by the career counselor. When a member is transferred to another duty station, this record will be checked for completeness, updated as necessary,

2. Required Interviews

a. Reporting Interview

(1) Required for all newly reporting personnel.

(2) This interview is one of the most important interviews that the career counselor will conduct and should be held as soon as possible within 30 days after a member reports aboard a new command. It is in the initial contact with the member that the counselor establishes the career information/retention process.

(3) At this time, the counselor should learn the status of a member's career counseling exposure and arrange to correct any deficiencies that are found by offering whatever interviews are deemed appropriate. Explain the career information program and present some insights into the retention programs and opportunities available to the member.

(4) One important point to remember is that much of the information given during this interview will be strange to young service members and that too much specific information might confuse them. Be sure they understand that the members of the command retention team are available to them for further explanation and assistance.

b. Retention Programs Interview

(1) This interview should be scheduled for the time frame of Active Duty Service Date (ADSD) plus 18 months. Those who should be interviewed are listed on the monthly Enlisted Distribution and Verification Report (EDVR), Section 11, Notification of ADSD Plus 18 months.

(2) This interview is a formal expression of the command's interest in the member's progress. A preinterview examination of the member's service record will disclose the efforts and progress the individual has made. It is here that the career counselor might discover the trends, both favorable and unfavorable, that can be corrected or complemented. Preinterview conversation with the member's CPO, LPO, or division officer might bring new insights into a prospect's full potential.

c. Incentive Programs Interview

(1) The proper time for conducting this interview is 10 months prior to EAOS/PRD. Those who should be interviewed are designated by the monthly EDVR, Section 11, Notification of PRD or EAOS, 10 months from current date.

(2) This interview is intended for all personnel but should be tailored to the length of service of the interviewee.

(a) This interview is intended to provide the individual with sufficient career incentive program information and facts relating to rights and benefits. The distinction between reenlistment incentives and career benefits should be clearly stated. Benefits are entitlements, usually effected by Congressional action, that accrue to an individual who serves in the military and may increase proportionately to length of service, paygrade, etc. Incentives are inducements that may be effected unilaterally by individual services (with or without Congressional action) to encourage an individual to extend or reenlist.

(b) Another expected result of this interview is that the member will receive assistance in submitting or updating the Enlisted Duty Preference (DUPREF) Form (NAVPERS 1306/63).

d. Seventeen-Year Monitoring Interview

(1) At approximately the 17-year point in a member's career, a counseling session should be conducted to apprise the individual of the benefits of remaining on active duty past the initial Fleet Reserve eligibility date. In-

e. Preretirement/Separation Interview

(1) Preretirement Interview

(a) All prospective retirees who are within 45 days of their scheduled date of retirement (disability or nondisability) or transfer to the Fleet Reserve will be provided adequate counseling regarding their preretirement benefits, rights, and privileges, with special emphasis placed on SBP.

(2) Separation Interview

(a) All members being separated from active duty who are within 45 days of their scheduled date of separation will be provided adequate counseling regarding their reemployment rights, veterans benefits, Majorcare 90, and Naval Reserve programs.

3. Additional Interviews

a. At various times throughout an individual's naval service, counseling sessions should be held to provide information that may be valuable to the member. Examples are receipt of orders, marriage, births or deaths in the family, and advancements.

APPENDIX II

WHERE TO FIND IT

This is only a partial listing of useful references. You may also find information in r other instructions, notes, and publications. Although this list is current as of publica be sure you use the latest edition of any reference. NAVPUBINST 5215.1 lists additi references.

SUBJECT	REFERENCE	
"A" SCHOOLS	TRANSMAN	CHAP 7
ABSENTEE BALLOTS	MILPERSMAN	6210220
ABSENTEES	MILPERSMAN	3430100
	MILPERSMAN	3430150
	MILPERSMAN	3430200
ACADEMY APPOINTMENTS	MILPERSMAN	1020220
ACTIVE-DUTY AGREEMENTS		
Reservists and Inductees	MILPERSMAN	1050200
ACTIVE-DUTY BASE DATE	MILPERSMAN	3840200
	MILPERSMAN	5030460
ADMINISTRATION OF RECRE-		
ATION PROGRAMS AFLOT	NMPCINST	1710.3
ADVANCE PAY	MILPERSMAN	2650100
ADVANCEMENT IN RATE	BUPERSINST	1430.16C
Acceleration	BUPERSINST	1430.16C
	MILPERSMAN	2230150
Active	BUPERSINST	1430.16C
Advancement Handbook for		
Apprenticeships	NAVEDTRA	71700
Advancement Handbook for		
Petty Officers	NAVEDTRA	71000 Series
After Reduction in Rate	MILPERSMAN	2230200
	BUPERSINST	1430.16C
By Selection Boards	BUPERSINST	1430.16C
	BUPERSNOTE	1418
Command Advancement Program		
(CAP)	BUPERSINST	1430.17C
	BUPERSINST	1430.16C
	MILPERSMAN	3410150

SUBJECT	REFERENCE	
AIRCREWMAN PROGRAM	TRANSMAN	CHAP 9
AIR TRANSPORTATION	NMPCINST	4650.2A
ALCOHOLISM		
In Military or Civilian DON Personnel	SECNAVINST	5300.28A
	SECNAVINST	5300.29
ALIENS		
Marriage	MILPERSMAN	6210160
Naturalization	MILPERSMAN	6210180
ALLOTMENTS		
Designation of Recipients	MILPERSMAN	5030240
Guidelines	MILPERSMAN	6210120
Modification of	MILPERSMAN	4210260
AUTOMOBILES		
Insurance	MILPERSMAN	6230160
Registration and Marking	OPNAVINST	5560.10B
Travel Under Orders	MILPERSMAN	1810320
AWARDS	SECNAVINST	1650.1E
	MILPERSMAN	3410200
BALLOTS, ABSENTEE	MILPERSMAN	6210220
BAQ (BASIC ALLOWANCE FOR QUARTERS)	MILPERSMAN	2650140
	MILPERSMAN	2640200
	PAYPERSMAN	SEC 3, CHAP 1
	MILPERSMAN	2650160
BAS (BASIC ALLOWANCE FOR SUBSISTENCE)	PAYPERSMAN	SEC 3, CHAP 1
	MILPERSMAN	2640100
BASIC SKILLS IMPROVEMENT, ENLISTED		
Academic Remedial Training (ART) Program	OPNAVINST	1510.11
Fundamental Skills Program	OPNAVINST	1560.9
	OPNAVINST	1510.11
	CNETINST	1560.3B
Job Oriented Basic Skills (JOBS) Program	OPNAVINST	1510.11
BLOOD BANKS	NAVMEDCOM	

SUBJECT	REFERENCE	
BLOOD PROGRAM	OPNAVINST	6530.2C
BOARD FOR CORRECTION OF NAVAL RECORDS	MILPERSMAN	5040220
BONUS, REENLISTMENT	OPNAVINST	1160.6
Entitlement	MILPERSMAN	1040300
BOOST (BROADENED OPPORTUNITY FOR OFFICER SELECTION AND TRAINING)	MILPERSMAN	1020360
	NAVPERS	15878G
BRIGS	MILPERSMAN	1850100
	MILPERSMAN	1850200
	SECNAVINST	1640.9A
BROKEN SERVICE	MILPERSMAN	1040300
CAREER-COUNSELING PROGRAM	NAVPERS	15878G
CASH AWARDS FOR MILITARY PERSONNEL FOR SUGGESTIONS, INVENTIONS, SCIENTIFIC ACHIEVEMENT, AND DISCLOSURES	OPNAVINST	1650.8C
CASUALTIES		
Assistance Calls Program	MILPERSMAN	4210160
	OPNAVINST	1770.1
CENSURESHIP	OPNAVINST	5530.1C
CHAMPUS (CIVILIAN HEALTH AND MEDICAL PROGRAM OF THE UNIFORM SERVICE)	NAVPERS	15878
	NAVPERS	15891
	SECNAVINST	6320.8D
CHANGE IN RATE OR RATING	MILPERSMAN	1060010
	BUPERSINST	1430.16C
	MILPERSMAN	2230180
CHOICE OF DUTY REQUESTS	TRANSMAN	CHAP 2
	NAVPERS	15980
CITIZENSHIP	MILPERSMAN	5030450
Requirements for Initial Appointment Into Regular Navy or Naval Reserve	MILPERSMAN	1020100
Verification of Date on		

SUBJECT	REFERENCE	
CLAIMS		
Personal Property	JAGMAN	CHAP 21
CLASSIFICATION		
Enlisted	MILPERSMAN	1440180
	MILPERSMAN	1440220
CLEMENCY	MILPERSMAN	2850190
CLOTHING, MONETARY ALLOWANCE	MILPERSMAN	2640260
	MILPERSMAN	2650250
	PAYPERSMAN	SEC 3, CHAP 5
CLOSED/CONTROLLED/MONITORED RATINGS	OPNAVINST	1430.5C
COLLEGE	NAVPERS	15878G
GI Bill	CNETINST	1560.3B
Tuition Assistance	CNETINST	1560.3B
COLLEGE DEGREE PROGRAM, OFFICER	OPNAVINST	1520.26
COLLEGE—DEGREE-COMPLETION PROGRAM	OPNAVINST	1560.9
	CNETINST	1560.3B
COLLEGE—TUITION ASSISTANCE	OPNAVINST	1560.9
	CNETINST	1560.3B
COMMAND MANAGED E.O. PROGRAM/COMMAND TRAINING TEAM	OPNAVINST	5354.1C
COMMISSARY, NAVY EXCHANGE, AND BEQ ADVISORY BOARDS	OPNAVINST	1700.2B
COMMUTED RATIONS (COMRATS)	MILPERSMAN	2640110
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A FINAL QUESTION: What did you think of this TRAMAN? Of the course material used with this TRAMAN? Comments and recommendations received from enrollees have been a major source of course improvement. You and your command are urged to submit your constructive criticisms and your recommendations. This tear-out form letter is provided for your convenience. Typewrite if possible, but legible handwriting is acceptable.

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1. The following comments are hereby submitted.

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